

AN INVESTIGATION INTO THE MANAGEMENT OF THE RECORDS AND
ARCHIVES OF FORMER LIBERATION MOVEMENTS IN EAST AND SOUTHERN
AFRICA HELD BY NATIONAL AND PRIVATE ARCHIVAL INSTITUTIONS

By

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Submitted: February 2010

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ABSTRACT

The struggle to liberate the continent of Africa from colonialism during the second half of the twentieth century represented an important epoch and as such this history needs to be documented accurately in whatever form for the benefit of posterity. Liberation struggle archives are of differing types and status, which reflects the diverse nature of the struggle itself. Records on the liberation struggles in Africa were created from within and outside Africa to document this historic epoch from the 1950s to the 1990s. These records have to be made available to the public for research, scholarship and general interest as they are a treasured national asset.

In view of the above, it is the mandate of archivists to provide a means for future generations to access historical sources. The purpose of this study was to ascertain whether liberation struggle archives are being offered the continuum of care throughout their lifecycle in order to make such access possible. Considering that few records were created during the struggle for emancipation notwithstanding their neglect, it is therefore incumbent upon archivists to preserve the legacy of the liberation struggle that is contained in those few records that were created. The study used both qualitative and quantitative data collection and analysis methods. The study used methodological triangulation techniques in order to capture the phenomenon under study in detail. The study's population were the twenty three archival institutions within east and southern Africa, both public and private that is, which generated a response rate of 39%.

Due to the fact that the study population was geographically dispersed, the study employed self-administered questionnaires for data gathering. Unstructured interviews and observations were also used in a limited manner. The researcher administered an interview schedule to heads of archival institutions within the east and southern African region. To complement the

interviewing, an observation schedule was also used to record phenomena at selected archival institutions.

The data collected using qualitative techniques was content analyzed whilst SPSS was used for quantitative data. The study unearthed some interesting developments. Liberation struggle archives had been identified and the requisite documentation put in place. This was evidenced by the restitution of archives which was an ongoing process albeit a problematic one. This process gives the overall picture that the liberation struggle was a global event as records are scattered in different parts of the world. The records so created are of varied nature as the media used to capture the record exists in a variety of forms with photographs predominant. The study also discovered that the arrangement of records was being done by qualified personnel, both archivists and manuscript librarians. In their efforts to promote access, most archival institutions employed a combination of finding aids with inventories and summary lists mostly used.

Furthermore, the existence of mechanisms, policies and procedures facilitates archival management practices. The present research established that all archival institutions had mission statements and that these explicitly spelt out the mandate of the organizations. For some institutions, these existed in written format. Formal policies were generally in existence but were calibrated at various levels depending on an institution's collection priorities. In this instance, the policy pertaining to digitization of liberation struggle archives was held in high regard and this explains why the majority of archival institutions preferred electronic media for duplicate copies. This preference points to the increasingly pervasive influence of digital technology. Archival institutions were liberal in their publication requirements though users had to acknowledge the institution as the source. The major challenge in the management of liberation struggle records was the processing of backlogs.

In addition, the study sought to establish whether archival institutions were providing resources in order to promote an environment conducive to

prolonging the useable life of liberation struggle archives. The infrastructure in terms of knowledgeable and skilled personnel was in existence as the need for an academic background from which archival skills could be developed was given priority. The expertise in preservation management was mostly invested in disaster planning and recovery, holdings maintenance and preservation planning. The research also established that the majority of archival institutions had a visitors' register in place although its administration lacked consistency. The majority of archival institutions had air conditioning though maintenance records were non-existent. It was also noted that fumigation was prevalent and that restorative work was being done by the majority of institutions with the traditional techniques being the most popular.

Equally important was the need to establish the preservation needs of the surveyed archival institutions. The study revealed that digitization was the most widely used preservation strategy and the majority of archival institutions had purpose-built storage. Fire was considered the biggest threat to archival collections and the disaster plan mostly covered records, the physical building and the evacuation of people. Fire detection systems were in place and archival institutions were making use of their respective local fire departments to raise fire precautionary awareness and readiness. Security measures were generally in place though the use of Close Circuit Television (CCTV), cameras and alarm systems was not pronounced.

Furthermore, the study identified that information communication technologies had a transformative influence on the management of liberation struggle archives. The majority of the institutions were digitizing their collections though there was no written policy for managing these digital records. It was also established that most archival institutions were not migrating their records. Technological obsolescence and lack of resources were considered by most institutions as constituting the major threats to the survival of digital records and this could be the reason why donor assistance

was sought as evidenced by the state of the art equipment on digitization infrastructure observed in some institutions visited.

Equally significant was the revelation that inherent semantic ambiguities existed in the legislative apparatus of the majority of archival institutions which partly explains why there was much passivity when it came to managing private records. The study further established that the management of private records was not satisfactory and areas noted for concern pertained to the arrangement, storage and custody, finding aids and access relating to these records.

Finally, the study put forward a number of recommendations that had to be considered in an attempt to help archival institutions professionally manage liberation struggle archives, and two are cited here simply because they encapsulate others. Firstly, the legislative apparatus had to be modernized in order for liberation struggle archives to be taken care of at national and not organizational level as is presently the case. The implication is that the laws that govern the national archives of countries within ESARBICA are wholly inadequate when it comes to the management of the private record. Lastly, the records continuum model formed the theoretical foundation of the study not only because of its holistic approach, pragmatism and the fact that it is technologically driven but because it dovetailed with the records keeping issues which the study investigated.

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DEDICATION

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GLOSSARY OF ACRONYMS AND ABBREVIATIONS

AACRLS	- [Namibian] Archives of Anti-Colonial Resistance and the Liberation Struggle
AARC2	- Anglo American Cataloguing Rules, second edition
ACARM	-Association of Commonwealth Archivists and Records Managers
AIIM	- Association for Information and Image Management
ANC	- African National Congress
APC & SA	- Alan Paton Centre & Struggle Archives
APLA	- Azanian People's Liberation Army
ARMA	- Association of Records Managers and Administrators
BNP	- Basutoland National Party
CCETSA	- Canon Collins Educational Trust for Southern Africa
CCTV	- Close Circuit Television
CHS	- Centre for Humanities Study
CPD	- Continuing Professional Development
DISA	- Digital Innovation South Africa
ECARBICA	- East and Central African Regional Branch of the International Council on Archives
ESARBICA	- East and Southern Africa Regional Branch of the International Council on Archives

EUBICA	- European Board of the International Council on Archives
FAPLA	- Forças Armadas Populares de Libertação de Angola [Popular Armed Forces for the Liberation of Angola]
FMLN	- [El Salvadorean] Frente Farabundo Marti de Liberacion Nacional
FNLA	- Front for the Liberation of Angola
FNLKS	- Front National de Liberation Kanak Socialiste
FOI	- Freedom of Information
FRELIMO	- Liberation Front of Mozambique
FSNL	- Frente Sandinista de Liberacion Nacional
HSRC	- Human Sciences Research Council
HVAC	- Heating, Ventilation and Air Conditioning
ICA	- International Council on Archives
ICTs	- Information Communication Technologies
IFP	- Inkatha Freedom Party
IISH	- International Institute for Social History
INM	- Imbokodo National movement
InterPARES	- International Research on Permanent Authentic Records in Electronic Systems
IRA	- Irish Republican Army
IRMT	- International Records Management Trust
ISO	- International Organization for Standardization

IT	- Information Technology
KADU	- Kenya African Democratic Union
KANU	- Kenya African National Union
KNADS	- Kenya National Archives and Documentation Services
LIS	- Library and Information Science
LTI	- Lutheran Theological Institute
MANU	- Mozambique African National Union
MARC	- Machine Readable Cataloguing
MCP	- Malawi Congress Party
MK	- Umkonto we Sizwe
MPLA	- Popular Movement for the Liberation of Angola
NAC	- Nyasaland African Congress
NAAURT	- National Archives Act of the United Republic of Tanzania
NAI	- Nordic Africa Institute
NAL	- National Archives of Lesotho
NAM	- National Archives of Malawi
NAN	- National Archives of Namibia
NARA	- National Archives and Records Administration
NARSA	- National Archives and Records Service of South Africa

NARSSAA	- National Archives and Records Service of South Africa Act
NAZ	- National Archives of Zimbabwe
NAZA	- National Archives of Zambia
NiZA	- Netherlands institute for Southern Africa
NMF	- Nelson Mandela Foundation
OAU	- Organization of African Unity
PAC	- Pan Africanist Congress
PADI	- Preserving Access to Digital Information
PAIGC	- African Party for the Independence of Guinea Bissau and the Cape Verde Islands
PLO	- Palestinian Liberation Organization
RH	- Relative Humidity
RIM	- Robben Island Museum
SADC	- Southern African Development Community
SAHA	- South African History Archive
SANC	- South African National Congress
SARAP	- South African Research and Archival Project
SOMAFCO	- Solomon Mahlangu Freedom College
SRANC	- Southern Rhodesia African National Congress
SWANU	- South West African National Union
SWAPA	- Southwest African Progressive Association

SWAPO	- South West African People's Organization
TANU	- Tanganyika African Union
TDF	- Tanzania Defence Forces
UDENAMO	- National Democratic Union of Mozambique
UFH	- University of Fort Hare
UKZN	- University of KwaZulu-Natal
UN	- United Nations
UNAM	- University of Namibia
UNAMI	- National African Union of Independent Mozambique
UNESCO	- United Nations Educational, Scientific and Cultural Organization
UNIP	- United National Independence Party
UNISA	- University of South Africa
UNITA	- National Union for the Total Independence of Angola
UWC	- University of Western Cape
WCC	- World Council of Churches
ZANLA	- Zimbabwe African National Liberation Army
ZANU PF	- Zimbabwe African National Union Patriotic Front
ZAPU	- Zimbabwe African People's Union
ZIPA	- Zimbabwe People's Army
ZIPRA	- Zimbabwe People's Revolutionary Army

CHAPTER ONE: INTRODUCING THE STUDY

1.1 BACKGROUND TO THE STUDY

The struggle to liberate the continent of Africa from colonialism was a profound and all-time consuming one for Africans during the second half of the twentieth century (Dominy 2004:1) and as such this history needs to be documented accurately in whatever form for the benefit of posterity. Cabral (1972:39) and Nzongola-Ntalaja (1987:31) argued that the people's struggle for national liberation and independence from imperialist rule undoubtedly constituted one of the essential characteristics of contemporary history.

The struggle for liberation that led to the attainment of national independence and the birth of new nations was a result of a protracted struggle by different movements that had the one common objective of dismantling settler colonialism. Southall (2003:30) could not have put it better when he remarked that these struggles took numerous forms, yet they were all characterized by the rejection of racism and imperialism and the demands of previously nationally oppressed peoples for sovereign equity with the colonial powers.

Dominy (2004) acutely observed that "Liberation Struggle" Archives are of differing types and status, reflecting the diverse nature of the struggle itself. As a result, records were created from within and outside Africa to document this historic epoch from the 1950s to the 1990s and these records have to be made available to the public for research, scholarship and general interest. They are a treasured national asset. Moodley (1993:606) agreed with Dominy (2004) and opined that the papers and archival documents of the liberation movements in South Africa for example are among the most valuable original source materials for historical research in the 20th century.

Citizens revere archives associated with great events or persons in history and the crusade for emancipation was no exception hence the need for its documentation for posterity's sake. The Organization of African Unity (OAU)

led the anti-colonial struggle from the 1950s to the 1990s and established the OAU Liberation Committee as its principal instrument. Dominy (2003) in Mnjama (2005:467) stated with regard to the role played by the OAU Liberation Committee and on the importance of documenting this historical epoch commented as follows:

I could not stand here today in front of you if it had not been for the success of the struggle. All the frontline states hosted South African exiles and supported the armed struggle, the economic struggle, the diplomatic struggle, and the cultural struggle. On our continent the struggle was coordinated by the Liberation Committee of the OAU. The archives of this committee are in Tanzania and I believe that they are our common heritage. I would like to suggest that ESARBICA adopts a project to properly archive these records, make them accessible and to copy them to the other countries that benefited from the work of the committee: Mozambique, Angola, Zimbabwe, Namibia and South Africa.

Many African states hosted freedom fighters from Algeria in the north to Lesotho, Swaziland and Botswana, closest to the then apartheid South Africa. Many organizations supported the struggle, both within Africa and across the world and this points to the fact that records of these liberation movements were scattered globally. Moodley (1993:606; Namihla 2004:226-227; Johnstone 1987 cited in Mazarire 2002:40) correctly noted that black heritage resources have not only been marginalised but are scattered all over the world.

Dominy (2004:1) observed that the United Nations spearheaded this struggle against colonialism internationally, but then there were other organizations in Europe, Asia, Australasia and the Americas that campaigned actively against apartheid and colonialism in Africa. The Fabian Colonial Bureau is one

example of an organization that supported initiatives against colonialism in Africa. The papers of the Fabian Colonial Bureau are currently held at Rhodes House Library in Oxford (University of Oxford 2008). As a result, records were created although it can be argued that due to the nature and secrecy of the war, few records could have been created for instance, reports of encounters pertaining to battles, casualties and meetings on the execution of the struggle.

Commenting on the Namibian liberation struggle (1966-1990), Sturges, Katjihingua and Mchombu (2005:735) remarked that SWAPO, South Africa and its Namibian military structures used covert intelligence gatherings, secret communication, propaganda and disinformation accompanied by censorship and the suppression of critical comment by force to further their political/military aims. Hatang (2005:72) concurred with the aforesaid and commented that it is interesting to note that South Africa has a history of secrecy where the opposing sides in the struggle – the apartheid government and the liberation movements were forced to keep their activities underground to ensure their respective survival. It is possible that many records were not created as a result of the ethos of secrecy.

Consequently, it is incumbent upon archivists to preserve the legacy of the liberation struggle that is contained in those few records that were created. The Tchiweka Documentation Centre Project (2006) for instance submitted that due to the scarcity of documents to have survived the turbulent process of the anti-colonial struggle and subsequent conflicts, largely explains why researchers and many institutions are increasingly concerned about the need to protect and conserve written and oral sources of information on the liberation struggle in Southern Africa.

1.1.1 Terms and concepts

In this section key terms and concepts in the archival profession are explained for clarification purposes.

1.1.1.1 Defining records

There have been many debates on the definition of a record, and on how records differ from information and knowledge. The word “record” has been a site of contestation as Harris (2000) remarked. This view is shared by Cox (2001) who posited that even records professionals, archivists and records managers engage in protracted debates about what constitutes a record. Definitions with a focus on information, data, structure, origination or end-user potential are all offered.

Yusof and Chell (1998a) aptly observed that there is no universally accepted definition of the term record and the varied definitions of the term have led to confusion which affects the formulation of theory to underpin the discipline of archival science. Be that as it may, there are public and non-public records.

Public records are those created or received in the course of official business by governmental bodies at central, provincial and local levels. Non-public records comprise all other categories of records – private papers, business records, church records and so on (Harris 2000:19). The records of former national liberation movements are thus non-public.

A definition of what constitutes a “record” will suffice. According to Shepherd and Yeo (2003:2), a record is any recorded evidence of an activity and is not defined by its physical format or storage medium, its age, or the fact that it has been set aside for preservation. In a situation where records keeping professionals are unlikely to agree on common terminology, guidance provided by international bodies such as the ICA or the ISO may provide a way out.

Accordingly, the International Council on Archives (ICA) Committee on Electronic Records defines a “record” as, ‘recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprises content, context and structure sufficient

to provide evidence of the activity" (ICA 1997a). ISO defines a record as information created, received, and maintained as evidence by an organization or person in the transaction of business, or in the pursuance of legal obligations, "regardless of media" (ISO 2001). From the two preceding definitions it is discernible that the essential characteristic of a record is that it provides evidence of some specific activity. Dearstyne (1993:1) explicitly illustrated this fact by offering this comprehensive definition:

Record means any type of recorded information, regardless of physical form or characteristics, created, received, or maintained by a person, institution, or organization. The broad definition of records encompasses correspondence, reports, diaries, journals, ledgers, minutes, photographs, maps, drawings, blueprints, agreements, memoranda, deeds, case files and other material.

Dearstyne (1993:1) further asserted that records are extensions of the human memory, purposefully created to record information, document transactions, communicate thoughts, substantiate claims, advance explanations, offer justifications and provide lasting evidence of events. Their creation results from a fundamental human need to create and store information, to retrieve and transmit it, and to establish tangible connections with the past.

The ICA noted that "records" may be in the form of tangible objects or digital information. Digital information is what is commonly referred to as electronic records (ICA 1997a). Commenting on the importance of digital information, Eastwood (2006:14) pointed out that:

As we all know, the need to develop the capacity to care for digital records has become unavoidable, virtually the world over, because so many records and so much data are now

created, communicated, maintained and must continue to be maintained over the long-term, in digital format.

It therefore follows that the records of these former national liberation movements are evidence of their activities regardless of the storage media. Examples of records include papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency (Oregon 2003; Diamond 1995:1). Records management has thus been defined as that discipline responsible for the efficient and systematic control of the creation of records until final disposition (Shepherd and Yeo 2003:1) or as Pearce-Moses (2005) has stated, the systematic and administrative control of records throughout their lifecycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition.

1.1.1.2 Defining archives

The term archives has been tripartitely defined by Oregon (2003) as:

- i. the records created or received and accumulated by an institution or organization in the course of routine business and retained due to their continuing or enduring value;
- ii. a building or area of a building used to house permanent records;
- iii. a government agency, organization, or programme responsible for appraising, scheduling, accessioning, preserving, and providing reference service to archival materials.

Archives management is that discipline concerned with the general oversight of a programme to appraise, acquire, arrange and describe, preserve, authenticate, and provide access to permanently valuable records (Pearce-Moses 2005).

As can be discerned from the first two definitions, the term record appears consistently but then records are not synonymous with archives, hence the

dictum within the archival sector that archives are records but not all records are archives. This distinction is important because while an archive collects records, not all records merit ongoing preservation (Pearce-Moses 2005). For the purpose of this study, archives are defined as non-current records with enduring value that are housed in a building or institution where they are preserved and utilized. In many African countries archives are regarded as records of continuing or enduring value in the custody of an archive repository irrespective of their provenance (Ngulube 2006:142).

1.1.1.3 Uses and importance of records and archives

The Association of Commonwealth Archivists and Records Managers (ACARM 2007) noted that records are essential to the business of all organizations. The International Records Management Trust (1999g) noted that records are key tools in meeting governance objectives such as the rule of law, accountability, management of state resources and protection of entitlements, services and foreign relations and international obligations. On the other hand, ICA (2004) observed that records provide evidence of human activities and transactions, underlie the rights of individuals and states and are fundamental to democracy and good governance. Records document the work of public authorities and private companies, support their operations and form the basis for the many services that are provided by them. They are essential to effective operations in several respects (ACARM 2007):

- i. *supporting the delivery of services* – one will need to document how policies and statutes are carried out, what services were provided, who carried out the work and how much it cost, and, in the longer term, an organization's accomplishments;
- ii. *supporting administration* – by providing information for the direction, control, decision-making and coordination of business;
- iii. *documenting rights and responsibilities* – an organization needs to provide evidence of the scope of its terms of reference, evidence of what it owns and evidence of its obligations. Records are important

also in documenting the rights of corporate bodies and individuals in matters such as ownership, legacy and so on;

- iv. *legal documentation* – many records comprise formal legal documents – regulations, local orders et cetera – or formal documentation of the relationship between governments and people or institutions. They may, in this respect, be used in legal undertakings or be required for evidence in a court of law;
- v. *evidence of the work of public authorities* – an organization needs to document the decisions, actions and obligations that it undertakes, and in this way provide accountability measures;
- vi. *future research* – some of the records an organization creates and uses will be preserved and will form the contents of archival establishments, providing important historical information on political, social, economical and other issues.

Records are therefore created or received in the conduct of business activities and provide evidence and information about those activities. It is therefore evident that records are a concern for both institutional and personal records creators. According to Cox (2001:25), an individual maintains records for generally the same reasons as an organization – to meet the needs of accountability, evidence and corporate memory (Roper and Millar 1999:84; Harris 2001; Akotia 2005:4; Ngulube and Tafor 2006:57). Personal records are created to capture transactions, document activities, serve legal and administrative functions and provide a basis for memory.

They come in all kinds of format and media and McKemmish, Piggott, Reed and Upward (2005:iii) rightly stated that there is no area of human activity not shaped in the most fundamental ways by the archival storage of information and no continuing form of culture or community is possible without it. This cultural value is especially important in the wake of colonial regimes which severely restricted access to information and suppressed both the people and their memories. Apartheid South Africa provides evidence of

how circumscribed information was then for the purpose of controlling people and this history is crucial to South African democracy. According to Morrow and Wothsela (2004-2005:313), archives are about maintaining, and even recovering, memory of a complex and often troubled past. In this regard, it can thus be discerned that archives ensure that the nation's social, economic, intellectual and cultural heritage is preserved irrespective of format (Ngulube 2000:1). This fact was also underscored by Shikapwasha (2004:5) who pointed out that:

The ability to reflect dispassionately on past experiences is an essential component of a flourishing and democratic society. It is for this reason that the production of historical knowledge plays such a crucial role in national development. The existence of a vibrant historiography and associated disciplines depend to a large extent on the availability of documentary evidence about past events and activities.

The documentary evidence in question includes records and archives which, according to Wallace (2004:23), are sources of evidence of human activity. They are a form of "social glue" which holds together, sustains, and sometimes unravels organizations, governments, communities, individuals and societies. This notion of records and archives as a form of "social glue" can be viewed from many perspectives – as cultural memory, as evidence of a decision trail, as a trigger for deliberative action, as a requirement to meet regulatory obligations and so on (Wallace 2004:23).

It can therefore be discerned that archives have various uses in society and McKemmish (1993:8) reiterated this fact by remarking that some records of activity were preserved as instruments of power, legitimacy and accountability, facilitating social interaction and cohesion; as a source of our understanding and identification of us, or organization and our society; and as vehicles for communicating political, social and cultural values. Eastwood

(2006:15) reinforced this view by observing that records and archives are indeed the source of information and knowledge about the actions taken by the powerful and affecting the powerful and the not so powerful.

Harris (2000:20), observed that archives help to preserve social memory and are therefore an integral part of any society's heritage. It is therefore evident that the survival of human memory largely depends on archives. Williams (2006:18) underscored this fact by stating that archives, like records:

- i. permit continuity and consistency in administration;
- ii. document, in a democracy, governmental responsibility and accountability to the people over time;
- iii. provide us with a sense of national, regional or civic identity;
- iv. educate, entertain and enrich our lives by providing appealing and tangible manifestations of our history, as well as useful information.

Harris (2000:19) agreed with the aforementioned and stated that societies preserve archives for the following reasons:

- i. archives help to preserve social memory and are therefore an integral part of any society's heritage;
- ii. archives meet the requirements of organizations, whether public or private, for recorded evidence of their transactions. This is especially important in a democracy where accountability is crucial;
- iii. archives protect enduring civic, legal, property and other rights. Examples are birth, marriage and death certificates, immigration records, records of land transactions etc.

In a nutshell, as succinctly opined by Ham (1984:329), the reason archives exist is because they reflect the broad spectrum of human existence. The ICA as the umbrella body mandated with responsibility of overseeing the management of archives worldwide noted that archives constitute the

memory of nations and societies and as such, they are a fundamental part of their identity. By providing evidence of human activities, decisions and transactions, archives support corporate administration and underline the rights of individuals, corporate bodies and states. Archives also guarantee citizens' rights to access information and to know their history and they are fundamental to democracy, accountability by public officials and good governance (ICA 2005).

1.1.1.3.1 Private and public records

Private records or historical manuscripts originate from unofficial or non-governmental sources such as individuals, business organizations, missionary societies, political groups, trade union organizations and so on (IRMT 1999g). The nature of documentation produced by these various organizations and groups is quite wide ranging and include letters, diaries, journals, deeds, contracts, ledgers, account books, records of meetings, sketch books and maps, lecture notes and speeches, minutes and memoranda, certificates, photographs, reminiscences, papers of other people and reports (Baxter and Burke 1970:vii cited in Kufa 1983:27).

On the other hand, records created by government agencies or other institutions within the public sector are usually specifically designated as public records (IRMT 1999g). The main criticism against public records is that they are impersonal and consequently lack personal opinion on the issues they document whereas private records, especially the personal papers of individuals are full of personal observation and anecdote. Private records therefore attempt to fill gaps in and provide background information to official records (Kufa 1983:27).

Be that as it may, Kufa (1983:30) further noted that in Zimbabwe, and perhaps in many other African countries, colonialism played havoc with private papers belonging to black politicians, political organizations and even missionaries. Many Zimbabwe-related private records belonging to these groups are located in numerous United Kingdom depositories. In South Africa,

a similar situation was experienced during the apartheid era with the South African History Archive (SAHA) which was an offshoot of the Popular History Trust based in Harare, Zimbabwe. In the context of increasing state censorship and harassment of both grassroots organisations and general information centres in South Africa, Harare was seen as the ideal location for the storage of such material, being accessible to users from both inside and outside South Africa, and which would serve as a 'safe-haven' or 'back-up archive' for the material being produced within the country (SAHA 2006; Frederikse 1982: i).

Against this background, it becomes imperative to give an overview of the repositories administering private archives as these are probably the greatest single primary source for seeking unique information (Kufa 1983:28). The researcher focused primarily on South Africa and Zimbabwe for logistical reasons and these archival repositories are dealt with in sections 2.1.8. – 2.1.8.5 and sections 2.1.12 – 2.1.12.1.

1.1.1.4 Defining liberation movements

The definition of national liberation movement has been a source of considerable disagreement among scholars. It remains subject to confusion, doubt and disagreement and even elementary questions of definition, terminology and delimitation of the field to be explained are still not settled (Valentine 1987:43). The conceptualization of the term is a matter of interpretation and Wilson (1988) rightly pointed out that defining national liberation movement is a challenging task and argued that the label, as popularly used is imprecise.

Around the world the term has been used in widely differing situations as the "Front National de liberation Kanak Socialiste" (FNLKS) in the South Pacific French colony of New Caledonia; the Tamils – a minority group seeking autonomy in Sri Lanka; the "Frente Sandinista de liberacion Nacional" of Nicaragua (FSNL); the El Salvadorean 'Frente Farabundo Marti de Liberacion

Nacional" (FMLN) and the "Harakat Tahrir Falestin" (Palestinian Liberation Organization – PLO) in the Middle East to name a few (Valentine 1987:39).

In the Western world examples include de Liberation du Quebec" (FLQ) in Canada and the Irish Republican Army (IRA) in Northern Ireland. The communist world has not been exempt. Various groups of Armenians in the former Soviet Union, Bulgaria and other Eastern European countries claim to be fighting for "national liberation" (Valentine 1987:40). This drive for self-determination was more or less similar in Africa during its decolonization phase in the 1960s and this has only served to lend further obscurity to a definition of "authentic' liberation movements.

Be that as it may, four possible lines of inquiry are in existence namely the Marxist approach, the Western anti-liberation perspective, the legal view and that espoused by radical African nationalists (Valentine 1987:42). The Marxist approach is historical in the strictest sense and most familiar. This school of thought conceives national liberation movements not as separatist entities, but rather as an integral part of an on-going global revolutionary process. To this school belong the bulk of Soviet Africanists, East German historians, social scientists in just about all socialist countries, as well as the New Left and other leftist-inspired scholars in the West (Valentine 1987:43).

The prevailing view among Western anti-liberation authors (Ansprenger 1962:105; Hobson 1965:11; Lowis 1979; cited in Valentine 1987:79) has been to equate national liberation movements with "terrorist organizations", "surrogates of the former Soviet Union", "proliferators of international communism", "and violators of western canons of freedom and democracy", "illegal opponents, outlaws" and a host of other epithets (Valentine 1987:78). This brings us to the third school of thought represented by the legal sciences.

Exponents of this school (Tomuschat 1974; cited in Valentine 1987:82-83; Tomuschat 1993:1-20; Ginther 1982:245; Veuthey 1983:115-137) have treated national movements basically as a problem of international law, dealing with their legal status within the United Nations (UN) and its specialized agencies as well as within international regional organizations. They base their arguments on concrete legal declarations of the UN General Assembly, Security Council resolutions, the Geneva Conventions on the conduct of war and Organization of African Union (OAU) declarations and resolutions (Valentine 1987:82). Central in their definition of a national liberation movement is that it is a non-governmental organization.

Finally, the radical African nationalist theoretical approaches to the national liberation debate is Pan-Africanist oriented, represented by the work of three prominent figures namely Ghana's first President Kwameh Nkrumah, Amilcar Cabral, the first President of the African Party for the Independence of Guinea Bissau and the Cape Verde Islands (PAIGC) and the theoretician behind the Algerian revolution, Frantz Fanon. The three differed on the dynamics of the struggle but agreed in principle on the need for the creation of a united Africa. In essence, Pan-Africanism is a revolt against the doctrine of racial inferiority (Sithole 1968:71).

For clarity's sake, the term national liberation movement will be dissected into three parts. National is suggestive of a sense of oneness; a sense of belonging or a set of shared sentiments (Horny 2000:847). According to Spencer and Wollman (2002:145), national liberation movements did succeed in developing and sustaining mass support. Nzongola-Ntalaja (1979:136) echoed similar sentiments by stating that:

Liberation movements are organizations of the workers, peasants, the lumpen proletariat and the lower stratum of the petty bourgeoisie under the leadership of revolutionary intellectuals. They are characterized by a high level of popular

mobilization and participation, without which they cannot hope to succeed. Mao's metaphor of revolutionary guerrillas as fish in water helps to underline this necessity of an intensive popular mobilization and participation as an indispensable means of constituting the movement's lifeline.

Without this mass support, they would never have been able to overthrow the tenacious and violent grip of imperial rule. Nationalism is thus an ideology which imagines the community in a particular way (as national), asserts the primacy of this collective identity over others and seeks political power in its name, ideally (if not exclusively or everywhere) in the form of a state for the nation (or a nation-state) (Spencer and Wollman 2002:2-3).

Liberation in this context means release of a country from foreign occupation leading to the attainment of national independence. Naldi (1999:17) defined a war of national liberation as an armed conflict in which people are fighting against colonial domination and alien occupation and against racist regimes in the exercise of their right to self determination (See also Ronzitti 1975:319 cited in Wilson 1988:2). A movement is therefore taken as the means to achieve the goal of independence as this association promotes a particular cause. According to Schneidman (1978), the essence of any national liberation movement is its internal organization, popular support, clarity of political line and its commitment to armed struggle.

It follows then that a liberation movement is a national organization founded on the common experience of "indigenous" people who are willing to unite for the goal of national liberation (Schneidman 1978: 57) or as Nzongola-Ntalaja (1979:136) put it; a revolutionary political organization which mobilizes an oppressed people for purposes of overthrowing imperialist domination. Sturges (2004:432) agreed with Nzongola-Ntalaja (1979) and drew attention to the notion that what is probably the most common factor in the so-called national liberation struggles is that most of the conflicts have been anti-

colonial, and the motivation for a struggle has centred on more specific grievances such as land deprivation, burdensome taxation, oppressive policing and administration by a regime more attached to some distant land than the territory in question. In short, a national liberation embodies that process of decolonization, whether achieved peacefully through negotiations or forcefully through military action such as a war of national liberation (Shafritz, Williams and Calinger 1993:470).

From the foregoing assessment it can be discerned that the precise definition of national liberation movement is fraught with complexities in view of the variables involved. It is a matter of interpretation and there are as many definitions as there are authors but there is nevertheless a definite need to provide a working definition. For the purpose of the present work a national liberation movement is defined as a non-governmental organization which, through violent or non-violent means, strives to win effective national independence in its crusade for emancipation.

1.1.1.5 The International Council on Archives (ICA)

The mission of ICA is to promote the preservation and use of archives around the world (International Council on Archives 2004). In pursuing this mission, ICA works for the protection and enhancement of the memory of the world and to improve communication while respecting cultural diversity. The objectives of ICA are to:

- i. encourage and support the development of archives in all countries, co-operation with other organizations, including international agencies, governmental and non-governmental;
- ii. promote, organize and co-ordinate best practice, the development of standards and other activities in the field of records and archives management;
- iii. establish, maintain and strengthen relations between archives of all countries and between all institutions, professional bodies and other organizations, public and private, wherever located, which are

- concerned with administration or preservation of records and archives, or with professional training of archives, especially through exchange of information;
- iv. facilitate the interpretation and use of archives by making their content more widely known and by encouraging greater access to them and undertake any relevant activities, which support its aim (International Council on Archives 2004).

The East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) is the regional body of the ICA and a look at this regional body in as far as it is carrying out the objectives and aims of ICA will now be undertaken.

1.1.1.6 ESARBICA – contextual background

ESARBICA was established in 1969, in Kenya and is the regional arm of the International Council on Archives (ICA). It brings together individuals and institutions concerned with the creation, use, preservation and management of recorded information in Eastern and Southern Africa. It is made up of fourteen member states namely; Angola, Botswana, Kenya, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Tanzania, Uganda, Zambia, Zanzibar and Zimbabwe (ESARBICA 2004). The mission of ESARBICA is the advancement of archives through regional co-operation.

The East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) has realized that liberation struggles records have been neglected and hence the need to preserve them as they are a national asset and part of Africa's heritage (ESARBICA 2003). ESARBICA, through its Cape Town Declaration on Archives in Africa, 20-21 October 2003, highlighted the fact that the archival heritage of Africa, in all aspects – oral and written – was ignored, marginalized and plundered during the colonial era (ESARBICA 2003). The Declaration further stated that the archival heritage of Africa be it in written, oral or electronic form, remains a precious resource that must be

carefully preserved, well managed and made accessible to all, in this and forthcoming generations. Durrani (2007:64) shared similar sentiments and noted that material from the liberation struggle in oral and written form generated during the long history of African struggle against colonialism needs to be collected, documented and made available.

It should be reiterated that issues pertaining to migrated and liberation archives have been a subject of discussion during ESARBICA General Conferences over several years. For instance the East and Central Archives Regional Branch of the International Council on Archives (ECARBICA) now known as ESARBICA after 1984, adopted resolutions, numbers ECARBICA 1969/7, ECARBICA 1972/7, ECARBICA 1976/1, ESARBICA 91/1, ESARBICA 2001/9, ESARBICA 2003/7&8 and ESARBICA 2005/9 in which the need for restitution of migrated archives and the identification, collection, organization and preservation of records of liberation movements, both oral and written had to be given priority (Mnjama 2007a).

Several countries within the ESARBICA region have made attempts to address this anomaly and examples that come to light include Zimbabwe and Namibia. The National Archives of Zimbabwe in conjunction with the National Museums and Monuments of Zimbabwe and the University of Zimbabwe jointly embarked upon an Oral History project in which they are capturing on tape, oral reminiscences pertaining to Zimbabwe's struggle for emancipation. The Namibian Archives of Anti-Colonial Resistance and the Liberation Struggle (AACRLS) Project under the auspices of the National Archives of Namibia is also striving to capture oral reminiscences.

1.1.1.7 The Organization of African Unity (OAU)

The quest for African unity is rooted in history. Pan-Africanism traces its origins to nineteenth century America and the notable individuals who advocated the emancipation of the African race included Henry Sylvester Williams, E. W. Burghardt DuBois and William Marcus Garvey (Anamate

1986:34). This pan-Africanist drive provided the impetus for self-determination in Africa in the post-Second World War era. The demand for political, economic and cultural self-determination became a flood that the colonial powers could not dam (Naldi 1999: 1).

Stilwell (1993:100) observed that South African librarianship was actually inspired by the pan-Africanist writings and activities of Marcus Garvey and his luminaries. African librarians during the apartheid era notably Herbert Dhlomo and Walter Hlapo proposed the establishment of an Archives Committee to collect materials and documents of historical interest, such as papers related to the foundation of the African National Congress.

The independence of Ghana on 6 March 1957 marked the beginning of a new era in Africa. The intellectual energy of the President of Ghana, Kwame Nkrumah was the motivating force behind the quest for African solidarity at this time. Numerous conferences were held with a view to liberating the colonies and forging closer links among the independent African states which culminated in the summit conference in Addis Ababa in May 1963 which founded the OAU (Naldi 1999:2).

The OAU was born at a time when the "winds of change"¹ were sweeping across the African continent and it thus had to accept the challenge of the anti-colonial struggle (Naldi 1999:2). When the OAU was formed in 1963, one of the aims of the organization, as stated in its Charter was the eradication of "all forms of colonialism" from Africa and "absolute dedication to the total emancipation of the African territories which are still dependent" (OAU

¹ The "winds of change" speech was made on 3 February 1960 in Cape Town by the British Prime Minister, Harold Macmillan whilst addressing the South African Parliament during his tour of African Commonwealth states. It was a watershed moment in the struggle for black nationalism in Africa and the independence movement across the continent. It also signalled a change in attitude towards the apartheid regime in South Africa (Davidson 2001:332-333).

Charter Article 2(1) d and 3(6). To help actualize this, the OAU created the Liberation Committee accountable to the Assembly in 1963 as one of the specialized agencies of the OAU with responsibility for co-ordinating the provision of aid to national liberation movements fighting for their homelands and freedom from racial oppression (Dugard 1967:162 cited in Wilson 1988:142). A closer look at this liberation Committee will now be undertaken.

1.1.1.7.1 The liberation committee

The debate on the decolonization of Africa was led by the then Algerian Prime Minister Ben Bella who urged that the liberation of the remaining colonial territories in Africa should be the first priority of the newly founded Organization of African Unity. Ben Bella proposed that a permanent committee of nine states should be set up to be responsible for receiving, co-ordinating and distributing assistance that the independent African states would be giving to the African nationalist movements (Anamate 1986:214).

The names of the states that were to constitute the Committee included: Algeria, Egypt, Ethiopia, Guinea, Nigeria, Senegal, Tanzania, Uganda and Zaire. The first resolution of the OAU centred on decolonization and in the preamble to this resolution, the Founding Fathers "reaffirmed that it is the duty of all independent African states to support dependent peoples in Africa in their struggle for freedom and independence" (Anamate 1986:214). They unanimously agreed to concert and coordinate their efforts to accelerate the unconditional attainment of national independence by all African territories still under foreign colonial domination (Anamate 1986:214). In other words the OAU's Liberation Committee's major task was to preside over the dismantling of the last vestiges of colonialism in Africa. As a practical measure to ensure the efficiency of its campaign against colonialism, the OAU's Liberation Committee had the following aims:

- i. to co-ordinate the material and financial support sent to liberation movements from independent African states and from abroad;

- ii. to give recognition and financial assistance to selected revolutionary movements;
- iii. to reconcile differences among rival insurgent groups so that they may present a united front;
- iv. to facilitate the formation of revolutionary alliances across national boundaries and
- v. to publicize the struggle through diplomacy in international relations (EL-Khawas 1977:25).

Initially, the OAU Liberation Committee was concerned with the struggles in the following countries:

- Angola
- Mozambique
- Guinea-Bissau
- Cape Verde
- São Tomé and Príncipe
- Zimbabwe
- Namibia
- South Africa (Dominy 2004:1).

The present study focused primarily on national liberation movements in east and southern Africa to the exclusion of countries like Cape Verde, Guinea-Bissau and Sao Tome-Principe as these are not within the study's focus on east and Southern Africa. The countries covered by the study included Kenya and Tanzania in East Africa and countries within the SADC region.

1.2 PROBLEM STATEMENT

The ability to manage records throughout their lifecycle has been viewed as a prerequisite in any records or archives management endeavour. However the lifecycle model has been found wanting when viewed against the possibilities of the ICT revolution. Mutiti (2001), opined that the great advances made in the use of information technology (IT) in recent years have revolutionized

communication both within and outside organizations, and also the way in which information is stored and retrieved. Ngulube (2000:2) concurred with the aforesaid and posited that electronic records have had a dramatic effect on our ability to preserve our archival heritage. Ngulube (2003b:64), further contended that the advent of electronic records means that librarians and archivists should take their role as providers of security to our national heritage seriously if continued access to these resources is to be assured into the future with acceptable limits.

This view assumes credence considering that traditionally the bulk of records within ESARBICA have been paper based. However, the onset of digitization has brought a new dimension to the way records are being stored and all this comes in with the electronic environment which is highly unstable and threatens the integrity of digital records. The nature of digital records indeed calls for new skill requirements in their management but then many archivists and records professionals within the ESARBICA region lack the professional capability to handle these records. Digital records are here to stay and how these are to be stored has only compounded an existing preservation problem.

Digital records have a short life span unlike paper records that were once written or printed on a medium that could last hundreds or even thousands of years. This custodial problem centres on media deterioration, technological obsolescence, paucity of standards and guidelines and a failure to plan for maintenance and preservation of electronic records (Cloonan and Sanett 2002:70). Ngulube and Tafor (2006:69) aptly commented that digital preservation is likely to remain a global information management challenge in the foreseeable future. In actual fact, even before the advent of the digital storage media, preserving records in the traditional media, such as paper has been problematic (Ngulube 2000:2).

1.3 Purpose of the study

The purpose of this study was, therefore, to locate and identify where the archives of national liberation movements reside in east and southern Africa and to examine whether records are being given that continuum of care. According to O'Toole (1990:63), identification is the first activity designed specifically to save and acquire records. This activity establishes an initial level of intellectual and physical control over the records and it does so by applying several fundamental questions to archival materials as evidenced by the research objectives. Against this background, Mnjama (2005:467) rightly observed that archivists need to take practical steps in ensuring that records relating to African liberation movements are identified, listed and where possible proper arrangements made for their housing.

1.3.1 Research objectives

The following research objectives arose from the purpose of the study and the literature reviewed:

- i. establish the location, custody, volume, composition, condition and management of liberation struggle archives;
- ii. examine infrastructure issues comprising policies, procedures and resources for their management;
- iii. assess the physical security of these records to ensure their long-term preservation vis-à-vis equipment and availability of expertise;
- iv. conduct a preservation needs assessment;
- v. assess the extent of the use of digitization processes to enhance preservation and access to the records;
- vi. assess the role of the national archives in managing these records and the existing relationships between national archival institutions and liberation movement archives; and
- vii. suggest a model to implement best records and archives management practices.

The objectives, questions and possible sources of data are presented in Table 1.

Table 1: Research objectives, research questions and probable sources of data

Research objective	Research question	Probable sources of data
Identify the records and how they are classified and catalogued	Have the respective governments identified these records and put in place the requisite documentation to promote access and use?	Questionnaire (Questions 7 - 17) Interviews (Questions 1 – 18) Observation
Establish mechanisms, policies and procedures for their management	What mechanisms, policies and procedures are in existence for enhancing records and archives management practices?	Questionnaire (Questions 18 - 37) Interviews (Questions 20 – 41) Observation
Assess the physical security of these records to ensure their long-term preservation vis-à-vis equipment and availability of expertise;	How physically secure are the records with regard to ensuring their long-term preservation.	Questionnaire (Questions 38 - 59) Interviews (Questions 20– 41) Observation
Conduct a preservation needs assessment	Has a preservation needs assessment been done?	Questionnaire (Questions 60 – 95) Interviews (Questions 32 – 41) Observation
Assess the extent of the use of digitization processes to enhance preservation and access to the records	Has the ICTs provided new opportunities for the management of the liberation struggle records?	Questionnaire (Questions 96 - 107) Interviews (Questions 1 – 13) Observation
Assess the role of the national archives in managing these records and the existing relationships between national archival institutions and liberation movement archives; and	How harmonious is the relationship between national archives, political parties and liberation movements in the management of records?	Questionnaire (Questions 16 – 37) Interviews (Questions 42 - 48)
Recommend a model to implement best records and archives management.	What model can be suggested to effectively implement a records and archives management programme for these national movements?	Literature review

1.4 JUSTIFICATION FOR THE RESEARCH

Archival activities and records management services within national liberation movements in East and Southern Africa have been largely neglected (ESARBICA 2003) and this study therefore sought to break new ground for

the benefit of scholarly research. Academic studies on nationalistic movements in Southern Africa, for example Friedland (1980), Pandya (1987), Courville (1988), Schreuder (1995), Mavhunga (2000), Steyn (2002), Chimhanda (2003) and Sibanda (2005) have tended to focus on the ideological framework that underpinned the struggle for self-determination to the extent of "overlooking" the upkeep of the raw material; the lifeblood of historical research, in this instance the records themselves.

Of late however as argued by Isaacman, Lalu and Nygren (2005:56), archivists, researchers and public intellectuals have begun a vigorous effort to preserve, digitize and disseminate on the web collections of documents on the struggles for freedom in Southern Africa². This study therefore sought to complement these efforts by examining, in detail, how records and archives management was being carried out because these archives are part of Africa's heritage to be bequeathed to future generations or as Isaacman, Lalu and Nygren (2005:56) have remarked; to ensure that the record of this moment in world history is not lost to posterity.

In summary, the research problem centred on whether records were being given that continuum of care. A cursory glance on the literature at hand on the management of records and archives on national liberation movements starkly reveals deficiency of information on this genre. Research in archival science has tended to focus on the management of records in universities

² Projects to take note which are explored in great length in Chapter Two include:

Aluka Project

SADC project: A history of the liberation struggle in Southern Africa

South African Research and Archival Project (SARAP)

The University of Connecticut-African National Congress Partnership

African Archivist project at Michigan State University

Nordic documentation on the Liberation struggle in Southern Africa under the auspices of the Nordic African Institute and Digital Imaging South Africa (DISA)

(Chinyemba 2003) and primarily on the ESARBICA region at large (Mnjama 2001; Mutiti 2001; Tafor 2001; Sejane 2004; Garaba 2005; Ngulube 2005; Mnjama 2006; Ngulube and Chachage 2006; Ngulube and Tafor 2006; Kemoni 2007; Abankwah 2008).

As can be deduced, the study dealt with private records and of late, scholars have been arguing for comprehensive and coordinated information policies to cater for information generated by public and private institutions in various countries. According to Chachage and Ngulube (2006:2), the passing of "FOI laws" in some countries underscores the need for business records to be managed so that they will be available when citizens request to have access to them in terms of the law. Mnjama (2005:468) also noted that the private sector is yet to fully participate in the collection and preservation of records and archives. It is therefore patent that national archival institutions tend to neglect private archives which needs redressing.

Ngulube and Tafor (2006) in their cross-sectional study of the ESARBICA region pointed out a number of anomalies with regard to the management of records and archives. Records management was being compromised by the acute shortage of resources. Secondly, records management processes were neither governed by a code of ethics nor any defined standards. Thirdly, electronic records were being threatened by benign neglect and finally records management staff were not adequately trained (Mutiti 2001; Ngulube 2001 and 2004a; Garaba 2005; Wamukoya and Mutula 2005).

Succinctly, weak institutional capacity and the absence of comprehensive records management policies, guidelines and practical standards have been cited as the main causes of archival underdevelopment in Africa (Ngulube and Tafor 2006:58; Mnjama 1996:24). The research problem was multifaceted in that it involved the identification and location of the archives of national liberation movements in east and southern Africa and the examination of whether records were being managed throughout their lifecycle. Records

management in general and electronic records in particular within the ESARBICA region is severely under resourced which has resulted in skills deficiencies. Little is known on the administration of former national liberation movements' records and archives by national and private archival institutions and the need to investigate whether there are any sound records and archival management practices instigated the study.

1.5 METHODOLOGY

The research problem was centred on the need to establish the extent to which national and private archival institutions are managing records of former national liberation movements. The study adopted an eclectic approach as quantitative and qualitative data collection and analysis techniques were employed through use of the triangulation method, the mix and match approach as Ngulube (2003a:197) puts it. Denzin (1997:318) defined triangulation as the application and combination of several research methodologies in the study of the same phenomenon. This use of multiple methods is a plan of action that will raise sociologists above the personalistic biases that stem from single methodologies (Denzin 1970:27).

The whole process is complementary as the idea is to offset the weakness or biases of a single method and as Jick (1979:604) rightly pointed out, the basic assumption of all triangulation is that the weaknesses in each single method will be compensated by the counter-balancing of strengths of another. Bryman (1988:173) concisely remarked that there are situations and topics in research that are better served by a marriage of two traditions and Creswell (1994: 7) and Ngulube (2003a:197), noted that the advantage of methodological triangulation is that it bridges issues of reliability and validity. According to Piotrowski (2008:281) the use of triangulation enables a researcher to have more confidence in his/her research. Denzin (1997:321) subscribed to this view and pointed out that:

Triangulation is the preferred line of research in social science. By combining multiple observers, theories, methods and data sources, social scientists can begin to overcome the intrinsic bias that is bound to come from single-method, single-observer, and single-theory investigations. Single-method studies are no longer defensible in the social sciences.

The foregoing view by Denzin (1997) is shared by Webb, Campbell and Schwartz (1966:174) who remarked that:

If no single measurement class is perfect, neither is any scientifically useless --- for the most fertile research for validity comes from a combined series of different measures, each with its idiosyncratic weakness, each pointed to a single hypothesis.

In consequence, a questionnaire, an interview schedule and an observation checklist were employed as data collection instruments. As will be illustrated in Chapters Two, Three and Four, previous studies on the management of records and archives by Mazikana (1995), Tafor (2001), Chinyemba (2002), Ngulube (2003), Garaba (2005), Kemoni (2007) and Abankwah (2008) used the quantitative approach with questionnaires being the major instruments for data collection. For the current study, questionnaires were directed to the first population, the heads of national archives within the east and southern African region as the key sources of data (Refer to Table 1 and Appendix One).

The population of the study were twelve national archives repositories. The countries were as follows: Angola, Botswana, Kenya, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Tanzania, Zambia and Zimbabwe. The second population comprised the archival repositories housing the records of former national liberation movements within east and southern

Africa and the focus here were on the ANC struggle records and archives (seven in all)³, FRELIMO, MPLA, SWAPO, ZANU PF and ZIPRA archives.

The informants or respondents were archival administrators, especially directors or chief archivists of archival institutions as this group of professionals is knowledgeable, “experienced” and in one way or the other, have a voice when it comes to policy formulation. The data matrix in Table 1 summarizes the instruments used to extract data from the research objectives and a detailed list of the population of the study is at Appendix One. The summary data was analyzed using SPSS. The aim of data analysis was to condense information in a body of data that can be easily comprehended and interpreted (Tafor 2001:52). A further discussion about the research methodology is explored in greater detail in Chapter Four.

1.6 SCOPE, DELIMITATIONS OF THE STUDY AND KEY ASSUMPTIONS

The study examined the management of records and archives by national and private archival institutions of former national liberation movements within east and southern Africa but due to resource constraints it was virtually impossible to travel to all countries to conduct interviews and carry out observations. In addition, other countries that experienced violent conflict on their road to independence like Guinea-Bissau, Cape Verde and Sao Tome-Principe, to cite a few, were left out as they were not within the focus of the

³ The seven archival institutions housing ANC archives are:

African National Congress Archives

Alan Paton Centre and Struggle Archives (University of KwaZulu-Natal, Pietermaritzburg)

Digital Innovation South Africa (DISA)

Gandhi-Luthuli Documentation Centre (University of KwaZulu-Natal, Westville)

Liberation Archives - University of Fort Hare

Nelson Mandela Foundation

UWC-Robben Island Mayibuye Archives

study. The time factor was another obstacle and the research therefore made use of questionnaires as the main instrument of data collection. To complement the data gathered, observation and structured interviews were conducted in South Africa and Zimbabwe. The choice of the two countries was largely because they were within reach. The literature reviewed was only in the English language. The study was based on the following assumptions:

- i. custodians of records should always strive to provide a continuum of care to their records;
- ii. preservation should ensure the safeguarding of records and archives and guarantee their accessibility to users. In other words, preservation should promote access and not to be viewed as in direct conflict with access. Use should remain as the ultimate goal of all archival endeavours; and
- iii. competent staff is assumed to hold the key to any effective records and archives management programme.

1.7 ETHICAL ISSUES

A research degree thesis is always a public document, which will end up being available in the university library system and on the Internet for everyone to read. In view of this fact, it is mandatory for all academic work to adhere to a strict code of ethics for professional reasons. Principles that safeguard subjects in a research study are crystallized around issues of confidentiality, anonymity and informed consent. Research should not breach any other kinds of confidentiality about the research (Le Voi 2002:154) and confidentiality is a promise to keep the identities of the subjects known only to the researcher and perhaps selected members of his or her staff and to minimize in any available way the possible exposure of a subject's identity (Baker 1988:75).

Wassenaar (2006:61) shared the same opinion by stating that the essential purpose of research ethics is to protect the welfare of research participants.

Research participants' dignity and welfare should always transcend the interests of the research and Coontz (2008:130) noted that:

Research ethics encompass how research is conducted and whether researchers have acted responsibly in accordance with scientific norms. Public trust in science is built upon the truthfulness of the scientific community. Society needs to have confidence that what scientists tell the public is true.

Le Voi (2002:154) further stated that academic research is about creating a community of scholars which is sustained by both trust and scepticism. This view was shared by Baker (1988:75) who posited that the work of social scientists, like any other professionals whose work involves human subjects, depends ultimately on the trust of those with whom it deals. In theory, any piece of research by any professional academic should be capable of being repeated in order to test the reliability of the results (Le Voi 2002: 154). Coontz (2008:131) rightly pointed out that attempts at "replicating" the study will serve as a "check" against faulty research practices. Coontz (2008) further noted that when a researcher engages in "cooking and trimming" the results, the results reported will be unreliable and unable to be reproduced.

Fraudulently presenting ideas as one's own when they are not is unethical or as Baker (1988:73) put it, incorporating someone else's work into your own without proper acknowledgement constitutes a serious academic offence as it is the act of plagiarism. Such dishonesty involves taking the words or data of another without attribution (Coontz 2008:131) and to maintain high standards of scientific etiquette, this research acknowledged the work of original authors by referencing appropriately. According to Wassenaar (2006:77), social scientists are expected to observe the highest levels of scientific and professional integrity and avoid falsification, fraud and plagiarism as well as abuse of employees, students or research participants in any way that takes

advantage of the power of the research position or which compromises the researcher's objective.

Anonymity implies that no one, not even the researcher, could connect your name with the information about you (Baker 1988:75). Questionnaires were mailed to respondents who were expected to return them without any form of code or identifying information on them. Informed consent is about ensuring that the subject is truly informed and Baker (1988:76) summed this view by stating that:

At the heart of the whole issue of social research and infringement of privacy stands the concern for whether the subject has knowingly agreed to the research in which he or she is participating. If the subject knows what the study is, understands his or her level of confidentiality in the study, and agrees to co-operate, the onus of invasion of privacy is lifted and the problem of coercion avoided.

On a similar note, Carlin (2003:40) noted that research ethics involves a number of overlapping practices with the major focus being on the relation between the researcher and the researched. Accordingly, this framework acted as the radar that guided the conduct of the research. Data collection involves interaction with potential respondents who are asked to donate time and resources to the research (Czaja and Blair 2005:239) and in consequence the overall aim of the research was explained to respondents in order to solicit their consent. Respondents were also assured that the information extracted would be treated confidentially and solely used for research purposes.

This meant that there was need not to mislead respondents as to the nature and purpose of the research and as noted by Czaja and Blair (2005:240), researchers must honestly answer their questions about the project, including

who is sponsoring it, its major purposes, the amount of time and effort that will be required of respondents, the general nature of the subject matter and the use that will be made of the data. Evidently, integrity is expected (Macrina 2005:1) because science is built upon a foundation of trust and honesty.

To facilitate this exercise, an ethical code of conduct form which the present researcher had to complete before starting the research acted as a guideline. The form provided ethical standards for the present research which acted as a guideline. According to Pickard (2007:72; Abbott and Sapsford 2006:293; Teddlie and Tashakkori 2009:198-199), professional bodies and universities have established their own codes of practice which set guidelines for all research carried out within the profession or university. In consequence, the University of KwaZulu-Natal's Higher Degrees Office required that all proposals be accompanied by an informed consent form which had to be complied with (UKZN research ethics policy 2009).

As a result, a letter seeking informed consent was drafted (See Appendix Two). Data collected was presented and analyzed accurately and Zikmund (2003:83) stated that researchers should not misrepresent the statistical accuracy of their data, nor should they overstate the significance of the results by altering the findings. Moreover, Macrina (2005:1) noted that bogus results cannot make a contribution to our understanding of a problem. In summary, Neuman (2000:106) asserted that research involves the morals of research practice.

1.8 ORGANIZATION OF THESIS

The present work consists of seven chapters. This chapter provided a general introduction of the study. The chapter included the rationale and the background of the study. The chapter also outlined briefly the historical antecedents of the liberation struggle. Definitions of terms used in the study were provided. The chapter pointed out the various uses and importance of records in society. The need to assess whether records of these former national liberation movements were being provided with a continuum of care

was the cornerstone of the problem statement. The chapter also discussed ethical issues in the context of this study. The chapter also highlighted the scope and limitations of the study and provided a summary of the methodology used in the study.

Chapter Two places the study into the context of the east and southern African region. It shows the location of the study, illuminates the history of these former national liberation movements and provides an institutional history of organizations housing records of former national liberation movements.

Chapter Three presents a review of literature in order to contextualize the research in line with other studies. Available knowledge with regard to records and archives management will be explored and discussed. The chapter identified types of records models and the model adopted in this study.

Chapter Four presents the methodology of the study and is in a sense, the nerve centre of this work. This chapter explains the research instruments chosen for the study and the procedures for the data collection exercise. The evaluation of the methodology used concludes the chapter.

Chapter Five presents the result of the findings. In this chapter empirical data are presented in the form of figures, tables and narrations.

Chapter Six discusses the findings of the study. The chapter interrogates the data and discusses variations of different results from interviews and observations.

Chapter Seven concludes the research. The chapter also tables recommendations of the study based on research questions and makes suggestions for further inquiry.

1.9 SUMMARY

Records of former national liberation movements have been neglected and this needs redress considering that the struggle for emancipation signifies an important epoch in modern history. Previous studies on national liberation movements focused primarily on the ideological framework at the expense of the records generated by the processes and events themselves which constitute the life-blood of historical research. There is a dearth of literature on the management of records and archives of former national liberation movements. The primary agenda in this chapter was thus to discuss the background to the statement of the problem, the research problem and issues involved. The chapter also touched on the justification of the research, the methodology to be employed for the study, ethical issues in research and concluded by giving an outline of the thesis. The next chapter puts the study into the context of the east and southern African region.

CHAPTER TWO: THE HISTORICAL AREA AND HISTORICAL ANTECEDENTS

2.0 INTRODUCTION

Chapter One laid the foundation for the study. The present chapter contextualizes the study and gives where appropriate concise backgrounds to the genesis and evolution of these national liberation movements. Fittingly, the environment from which the data was extracted is explored. Projects worldwide that are striving to document the history of the liberation struggle are briefly examined. A brief summary of the chapter is provided in the final section.

2.1. THE RESEARCH AREA

The scope of the study was east and southern Africa. This region was the theatre of a protracted war of national liberation and the war was much pronounced in southern Africa as the region witnessed liberation struggles in Angola, Mozambique, South West Africa (Namibia), South Africa and Southern Rhodesia (Zimbabwe). According to Courville (1988:1), each of these countries shared common historical characteristics: white settler regimes, militarily conquered indigenous population, minority constitutional rule and denial of African political participation. Isaacman, Lalu and Nygren (2005:56), echoed similar sentiments and remarked that:

The struggle for freedom in Southern Africa had significance that extended far beyond the continent. By the 1960s, the region was the world's last major bastion of colonial rule. Firmly entrenched racial minorities resisted a growing global consensus in favour of majority rule and self-determination.

As has been pointed out in the preceding chapter, these national liberation movements espoused the doctrine of Pan-Africanism and in this chapter it becomes imperative to place the armed struggles led by these nationalistic movements in the proper contextual framework. As a salutary reminder, they have to be understood as a response to their exclusion from equitable

participation in the political, economic and social structures of society by a white dominated government. Mtuma (1975:69) advanced the thesis that in its development as a philosophy and an idea, Pan-Africanism had three strands – anti-colonialism, anti-racism and liberation.

Politically, colonialism was a dictatorship, imposed by violence and maintained by violence, and Maloba (1995:9) rightly pointed out that:

There is hardly an African country that does not have its list of martyrs of freedom – those nationals that were killed, imprisoned or detained for opposing specific or general colonial policies.

Ranger (1968a:634) observed that where nationalist movements were faced with strong settler regimes, as in southern Africa, they tended to move towards a strategy of violence which was seen by them as springing out of the traditions of “primary resistance”. Furthermore, Ranger (1968a:637) postulated that it is natural that a nationalist movement which is engaged in an increasingly violent struggle for independence to turn even more exclusively to the tradition of resistance. In other words, earlier struggles for self-emancipation were forerunners to modern mass nationalism. It is therefore not surprising that the east and southern African region is replete with incidences of early resistance to colonial rule, backward looking and traditional, but that served as dress rehearsals for modern African nationalism.

Examples that come to light include the Ndebele and Shona uprisings in Southern Rhodesia (1896-7), the Bambatha rebellion in South Africa (1906), the Maji-Maji uprising in German East Africa (1905-7) and the Nama-Herero rebellions in South West Africa (1904-8) to cite a few (Ranger 1968a: 634; Gewald 1999:141-191; Iliffe 1967:495-512). These rebellions whilst significant from a historiography point of view are not the primary objective of this

treatise although Ranger (1968a:634) pointed out that there was a link between these primary resistances and later mass movements of millenarian character. Henriksen (1978:154) agreed with Ranger (1968a) and noted that modern nationalist leaders recount with undisguised pride the encounters of traditional warfare and assert the historic continuum between them and modern guerilla operations.

The research is also cognizant of a number of developmental trajectories surrounding it with regard to projects worldwide currently underway to document the history of the liberation struggle. Although differing in geographic scope, scale and internal structure, all these projects share a common objective: to ensure that this historical epoch is adequately documented lest it be consumed by the tides of time. Of late, however as portrayed by Isaacman, Lalu and Nygren (2005:56), archivists, researchers and public intellectuals have begun a vigorous effort to preserve, digitize and disseminate on the web collections of documents on the struggles for freedom in southern Africa⁴.

This study therefore sought to complement these efforts by examining, in detail, how records and archives management of liberation movements are being managed and preserved as these form part of Africa's heritage to be bequeathed to future generations or as Isaacman, Lalu and Nygren (2005:56) have remarked; to ensure that the record of this moment in world history is

⁴ Projects to take note of, which are explained later include:

SADC project: A history of the liberation struggle in Southern Africa

South African Research and Archival Project (SARAP)

The University of Connecticut-African National Congress Partnership

African Archivist project at Michigan State University

Nordic documentation on the Liberation struggle in Southern Africa under the auspices of the Nordic African Institute and Digital Imaging South Africa (DISA)

Aluka Project

The Liberation Struggle Living Archive Project

not lost to posterity. It is therefore appropriate to give a bird's eye view of these projects in the closing stages of this chapter. At this juncture, a country by country prognosis will now be undertaken in an endeavor to irradiate the parameters of the study and as earlier mentioned, concise backgrounds to the genesis and evolution of these national liberation movements will be given where applicable.

2.1.1 ANGOLA

The Republic of Angola is the largest Portuguese-speaking state in Africa. The liberation movements of Portuguese Africa served as powerful catalysts of social, economic and eventually political change because armed uprising appeared only to steel Lisbon's resolve to hold on to its anachronistic empire (Marcum 1982:180). The Salazar government in Portugal refused to embrace reform, continued to deny Africans the right to political self-determination and clung instead to the principle of inalienable Portuguese sovereignty. This intransigence had far reaching consequences and it witnessed the mushrooming of political parties that were determined to unyoke colonialism. As a result, in three of the Portuguese colonies, Angola, Mozambique and Guinea Bissau that is, independence followed an armed struggle (Hodges 2001:8).

Nonetheless, more organized nationalist opposition developed relatively late in Angola in comparison with other African colonies. According to Tvedten (1997:29), one important reason for this was the divide and rule policy of the Portuguese. In addition, most of the educated Angolans were effectively cut off from society at large through their status as *assimilados*. Early political dissidence was also actively repressed. Censorship, border control, police action and control of education all postponed the development of African leadership (Tvedten 1997:29).

According to Hodges (2001:8), the authoritarian nature of Salazarism which brutally suppressed any democratic traditions was one of the primary reasons behind the formation of the three main liberation movements, the Popular

Movement for the Liberation of Angola (MPLA), the Front for the Liberation of Angola (FNLA) and the National Union for the Total Independence of Angola (UNITA). Guimaraes (2001:31) shared similar views and pointed out that colonial repression in Angola helped to define the radical political character of the anti-colonial struggle. Under such circumstances, the resort to clandestinity and subsequently, guerilla warfare as the form of challenging Portuguese rule was inevitable.

The MPLA was founded in 1956 and its military wing was the Popular Armed Forces for the Liberation of Angola (FAPLA) (Marcum 1982:182). The group's leader was Antonio Agostinho Neto and its main support base developed among the Mbundu in Luanda. The FNLA was established in 1962 and was headed by Holden Roberto and its main support base was among the Kongo in the northern province of Angola. Four years later, in 1966, UNITA was founded by Jonas Savimbi and its main support base was among Angola's largest ethnic group, the Ovimbundu (Tvedten 1997:29).

This stratification along different ethnic lines also explained the emergence of these parties apart from the need to wrestle power from the Portuguese. These deep-seated tribal divisions coupled with other reasons were to metastasize into the bloody Angolan civil war. Birmingham (1992:50-52) acutely observed that the lack of unity led to a catastrophic situation as each movement simultaneously took on its rivals and the struggle against colonialism. As a result, the Cold War found fertile ground: China, the Soviet Union, South Africa, Zaire, Cuba and the United States all helped to "decolonise" Angola according to their own divergent interests.

Like in Southern Rhodesia and German East Africa, the history of pre-colonial Angola especially of resistance to Portuguese military conquest played an important symbolic role in the anti-colonial war. For instance, the resistance of Queen Nzinga in the seventeenth century and the warriors of the Dembos became part of the military and political ethos of the MPLA guerrilla movement (Guimaraes 2001:34). Birmingham (1992:9) agreed that the roots

of nationalism need to be sought in the tradition of resistance as was epitomised by Queen Nzinga from the 1620s to the 1660s. Queen Nzinga was a nationalist in the modern sense of the word and the precursor of the state builders in the twentieth century. This historical link between modern anti-colonialists and African resistance to the Portuguese was referred to by Agostinho Neto who commented that (Guimaraes 2001:34):

For Angolans, clandestine action meant the resumption of a long battle against Portuguese domination. From the time of Portuguese penetration, our history has been marked by great feats of resistance.

Despite this millenarian claim which should have acted as a unifying point, the three liberation movements had sharp political differences shaped by their ideological orientations. The MPLA was leftist and was mainly supported by Cuba and the Soviet Union. The FNLA was influenced by its close ties with Zaire while UNITA was initially supported by China but later turned to South Africa and the United States (Tvedten 1997:31).

The 1974 coup d'état in Portugal provided the catalyst that sped up Angola's progress towards independence and in January 1975, the MPLA, the FNLA and UNITA agreed to form a transitional government and hold elections in November 1975. The coalition government was however short-lived as heavy fighting broke out amongst the three parties and as the conflict escalated, each movement turned to its old allies and Angola was plunged into an East-West power struggle, an extension of the Cold War (Tvedten 1997:31). Despite the civil war, the African National Congress of South Africa (ANC), the South West African People's Organization of Namibia (SWAPO) and the Zimbabwe African People's Union (ZAPU) were allowed to establish offices in Luanda all in line with the spirit of Pan-Africanism. The idea here was to

promote African unity through co-operation and solidarity by advancing a common cause against colonialism.

A brief commentary on the liberation archives that were created and where these are and the repositories holding them in Angola will suffice. The Tchiweka Centre in Angola is a private repository documenting materials collected by Lucio Lara in order to preserve and inform about the history of the liberation struggle in Angola. Plans have been mooted to transfer in the near future Lucio Lara's collections to the National Historical Archive of Angola, once it has definitive premises and better conditions for housing this kind of archive (The Tchiweka Documentation Project 2006).

2.1.2 BOTSWANA

Botswana was declared a British protectorate in 1885 at the request of local Tswana rulers who felt threatened by Boer encroachment from Transvaal. The Botswana Democratic Party non-violently led the country to its independence in 1966. In its regional policy, the country recognized the importance of liberation movements within the region as the government allowed the ANC, SWAPO and ZAPU to establish administrative offices and residences in Gaborone. The government also collaborated with ZAPU in regulating and controlling political refugees in camps (Osei-Hwedie 1998:428). It can thus be discerned that Botswana played a critical role by providing sanctuary and support to neighbouring liberation movements and to date, the bulk of liberation struggle archives have since been repatriated to the countries concerned.

2.1.3 KENYA

Kenya was formerly known as British East Africa and was declared a British protectorate in 1895. According to Mazrui and Tidy (1984:118), Kenya was the first African country to have a war of independence on a scale comparable to the original insurrection against British imperialism – the revolt of the American colonies. There is a protracted debate on the origins of Mau Mau

(1952-60) predicated on whether it was a nationalist or traditional ethnic movement. Mazrui and Tidy (1984:119), succinctly remarked that as long as the revolt was directed against the elimination of colonial rule and the British settler presence, the Kikuyu uprising had the reputation of being a radical, even a revolutionary movement. The uprising did not succeed militarily but was significant in that it did create a rift between the white settler community in Kenya and the Home office in London that set the stage for Kenyan independence in 1963 (Mazrui and Tidy 1984:119). It can thus be argued that had it not been for the Mau Mau struggle, all the constitutional changes towards independence would not have been achieved.

Atieno-odhiambo (1995:42) shared similar sentiments and posited that Mau Mau enabled the loyalists to re-emerge as nationalist politicians in the post-colonial society and made competition a legitimate and effective vehicle for *utetezi* – the agitation for African independence. Ogot (1995:51) espoused similar views and remarked that Mau Mau unlike FRELIMO or the Zimbabwe African National Union (ZANU) never transformed itself into a political party, thus leaving room for district and later national political organizations such as the Kenya African National Union (KANU) and Kenya African Democratic Union (KADU), which were never liberation movements to emerge. Independence to the country came in 1961. The Kenyan National Archives and Documentation Centre does not hold records from freedom fighters but houses the papers of the late Joseph Murumbi who was one of those involved in the struggle for independence.

2.1.4 LESOTHO

The Kingdom of Lesotho, formerly known as Basutoland became a British protectorate in 1868 at the request of Moshoeshoe I in the face of Boer expansionism. Basutoland was annexed to the Cape Colony (South Africa) in 1871 but became a separate British colony in 1885. It was administered as one of the high commission territories in Southern Africa. The Basutoland National Party (BNP), formed in 1958, led the drive for constitutional reform

before independence was granted in 1966 (Cobbe and Bordill 1985:39). The National Archives of Lesotho is not in possession of archives belonging to former national liberation movements.

2.1.5 MALAWI

The history of Malawi (Nyasaland) was punctuated by a number of unsuccessful attempts to gain independence. As in Tanganyika, the road to independence was led by the educated elite who became increasingly vocal and politically active first through associations and after 1944 through the Nyasaland African Congress (NAC). Msiska (2002:71) noted that the activities of the educated elite through their respective associations centered on educational facilities and economic development. During the 1950s, pressure for independence increased when Nyasaland was joined with Northern and Southern Rhodesia in 1953 to form the Federation of Rhodesia and Nyasaland (Williams 1978:165).

In 1958, Hastings Banda returned from abroad and immediately assumed leadership of the NAC, which later became the Malawi Congress Party (MCP). In 1959, Banda was imprisoned for his political activities but subsequently released in 1960 to participate in a constitutional conference in London. In 1961, the MCP won an overwhelmingly victory in the elections for a new legislative council. The Federation of Rhodesia and Nyasaland was dissolved in 1963 and Malawi was granted virtually complete internal self-government in 1964 under a monarchical constitution (Pachai 1973:244). The National Archives of Malawi is not in possession of archives belonging to former national liberation movements.

2.1.6 MOZAMBIQUE

According to Mondlane (1983:101), like all African nationalism, the Mozambican form was born out of the experience of European colonialism or as Munslow (1983:62) pointed out, after a gestation period of colonial occupation. FRELIMO, the Mozambican national movement was formed exactly half a century after the African National Congress of South Africa

(founded in 1912). The reasons for this late development were because the Portuguese tried to insulate Mozambique from the changes happening elsewhere in Africa.

The liberation struggle in Mozambique presents several parallels with that of Angola including early spontaneous protests, an assimilado leadership and Portuguese military brutality against unarmed Mozambican peasants which provided the catalyst for armed rebellion (Ciment 1997:42). According to Newitt (1995:520), a centralized bureaucratic state backed by an increasingly effective security apparatus (PIDE) made sure that the population, white and black, was disintegrated and disorganized within itself. The most pronounced difference with the situation in Angola was that in Mozambique there was unified African resistance.

However, there were certain aspects of Mozambique's evolution that worked in its favour too. The migrant labour system exposed Mozambicans to the tides of politics and many of them became conscientised. Newitt (1995:521) asserted that Mozambicans agitated in the mines of the Copper-belt and the Rand, joined political movements or independent churches and sought education of a kind unobtainable back home. It was abroad that Mozambican nationalism was effectively born.

Not surprisingly, the Front for the Liberation of Mozambique (FRELIMO) was formed in 1962 as a merger of three exiled groups – the Tanzanian based Mozambique African National Union (MANU) modeled on both the Tanzanian African National Union and the Kenya African National Union, the Rhodesian based National Democratic Union of Mozambique (UDENAMO) structured on Joshua Nkomo's National Democratic Party and the Malawi based National African Union of Independent Mozambique (UNAMI).

Considering that the three proto-nationalist parties had a predominantly ethnic or regional base, it thus disqualified them from any claim to leadership

of a genuinely “nationalist” movement (Munslow 1983:80). The three political parties met at a conference in Dar-es-Salaam sponsored by the then Tanzanian president, Mr. Julius Nyerere whose support throughout the whole course of the nationalist struggle was to prove invaluable. The three groups merged in a single new organization, the Front for the Liberation of Mozambique (FRELIMO) with Eduardo Mondlane as its first president (Hodges 1982:60; Hoile 1989:16). Mondlane provided a figurehead around which the united Mozambique movement could be built (Munslow 1983:81). Mondlane helped to transform FRELIMO into what it became after his death, a remarkably cohesive guerilla movement (Newitt 1995:522).

The birth of FRELIMO was a watershed in the long history of resistance to colonial rule. Not only was it the product of the unification of the three proto-nationalists (Munslow 1983:82) but was an alliance of different classes: workers, peasants and the petty bourgeoisie, although the interests of these classes varied and were to come into conflict at a later stage. FRELIMO's platform for creating unity was quite simple: opposition to colonialism and the demand for national independence. This was the basis of the first FRELIMO Congress and the need for unity in the struggle was concretized and made tangible (Munslow 1983:82-83).

Following a protracted debate on how independence was to be achieved, it was finally agreed to pursue armed combat in the face of the total intransigence of the colonial power and this was kick-started on 25 September 1964. FRELIMO operated from Angola, Tanzania, Mozambique, Lesotho, Swaziland, Zimbabwe, Zambia and Botswana to cite a few. After the military coup in Portugal in 1974, the Portuguese authorities agreed to hand over power to a transitional Frelimo-dominated Government and this was followed by independence in 1975. Due to the fact that FRELIMO embraced international activism in its foreign policy; it allowed ZANU forces to set bases on its territory. The OAU was one such international arena in which Mozambique used to generate support for Southern African liberation

struggles and to articulate broader anti-imperialist positions (Isaacman and Isaacman 1983:179). With regard to the custody of liberation struggle archives, these are with the National Archives of Mozambique and at FRELIMO's party headquarters.

2.1.7 NAMIBIA

Namibia, like some other Southern African countries (Hillebrecht 2002:25; Ostbye 2000:90), gained independence after a prolonged liberation war. The country traces its history to a protectorate established by the German Government in 1884. Following the outbreak of the First World War, South African forces occupied the German colony. After the war, the League of Nations awarded South Africa a mandate to administer the territory. A look at Namibia's colonial history, albeit briefly will help with the orientation.

Namibia's colonial history is littered with violence (Green and Kiljunen 1981:1) and this dates back to the German conquest and the attempted Nama-Herero war of liberation (1904-8) which inspired the national liberation struggle. The colonial economy in South West Africa led to the development of the contract labour system which was loathed by the local populace (Evenson and Herbstein 1989:9).

In consequence, the labour movement which initially limited itself to economic issues, contributed to the development of political parties in South West Africa (Sparks and Green 1992:26; Valentine 1987:103; Melber 2005:94; Sturges, Katjihingua and Mchombu 2005:739). One such labour movement was the Ovambo People's Organization (OPO) which eventually developed into the South West African People's Organization (SWAPO). By the 1950s, there were three main resistance movements in South West Africa: the OPO, the South West African National Union (SWANU) and the Herero Council. SWANU was an offspring of the Southwest African Progressive Association (SWAPA), which was an educational and cultural association. SWANU's specific goals were to improve educational facilities for blacks, reform the apartheid curriculum and establish independent schools (Sparks and Green 1992:26).

On the other hand, the Herero Council was relatively conservative and elitist and was renowned for its many years of petitioning. In 1960, OPO changed its name to the South West Africa People's Organization (SWAPO) and developed into a national movement. SWAPO broadened its programme to include demands for an end to South African colonial administration, the abolition of racial discrimination, rights to freedom of speech and free organization for all Namibians and majority rule in Namibia. Sam Nujoma was elected president but was immediately forced into exile (Kiljunen 1981:149).

SWAPO, SWANU and the Herero Council agreed on the need for change but lacked consensus on the best manner in which to pursue that change. SWAPO devoted much of its efforts in the 1950s and early 1960s to petitioning the United Nations whereas SWANU believed it was necessary to organize the South West African people for a more internally directed change. On the other hand, the Herero Council was traditionalist and therefore sought to preserve pre-colonial systems and hierarchies (Sparks and Green 1992:29).

Of all the three groups, SWAPO became the most effectively organized and could rally the support of the largest segment of the population, the Ovambo and it thus, (Moorcraft 1990:103) came to be identified as a major national symbol of independence for all Namibia's ethnic groups. For these reasons, SWAPO was recognized by the international community as the authentic representative of the South West African people (Sparks and Green 1992:30) and the recognition was acknowledged by the OAU and the United Nations. In 1976, this recognition was made exclusive and SWAPO was given full observer status at the General Assembly, with participation rights in all United Nations agencies (Kiljunen 1981:154).

Following the indecisiveness of the International Court of Justice on whether South Africa had the legal right to administer the territory, the South West Africa People's Organization (SWAPO) began an armed insurgency. Official SWAPO sources (To be born a nation 1981; Clapham 1998:2) attributed the decision to embark on a protracted armed struggle to:

--- the inability of UN resolutions to change South African policy in the slightest degree deepened the disillusionment of the Namibian people. In the words of its leaders, SWAPO had come to realize that to rely on UN intervention to liberate Namibia was to leave this liberation to mere chance. Accordingly at a national Congress at Windhoek in 1961, it was resolved to prepare for an eventual armed struggle.

SWAPO was essentially a military organization which used guerrilla tactics to fight the South African military. To coordinate and lead this struggle, the People's Liberation Army of Namibia (PLAN) was established. It was based in Zambia and then, after 1975, in Angola where it allied itself with MPLA (Landis and Davis 1982:148-155). SWAPO'S military efforts received a tremendous boost with the establishment in 1963 of the OAU. The refusal by SWANU to take up arms led to its disappearance from the international scene as SWAPO was accorded recognition as a liberation movement (Brown 1995:20; Sellstrom 1999:282-283).

To facilitate the prosecution of the armed struggle, military training was initially embarked upon in Tanzania, Ghana, Egypt and Algeria while other recruits went as far as the Soviet Union, China and North Korea for specialized training (Valentine 1987:116). Due to SWAPO's diplomatic initiatives, the influence of the organization was so pervasive, and Katjaviv (1988:112) observed that:

SWAPO established a number of offices overseas, campaigned at the United Nations, maintained close links with the OAU and its Liberation Committee. SWAPO's external missions lobbied governments, national and international organizations, churches, trade unions and the press for support and understanding of their cause.

The first military encounter between SWAPO insurgents and the South African army occurred on 26 August 1966 when colonial troops attacked a guerilla base at Omgulumbashe in what was then still Ovamboland. Subsequently, 26 August was institutionalized and is now commemorated by the United Nations as “Namibia’s Day” (Melber 2005:95). The armed struggle opened the way for the consolidation of SWAPO as the sole and definitive organization within the Namibian anti-colonial movement and sanctioned the creation of a historical continuity going back to the days of the early anti-colonial resistance in the late nineteenth century (Melber 2005:96). In spite of this belligerent stance, Dobell (1998) and Sturges (2005) observed that SWAPO’s armed struggle was hardly a success though it was triumphant on the diplomatic front.

Closer home as noted elsewhere, the struggle for liberation in southern Africa was not an isolated event in view of the anti-colonial sentiment that enveloped the continent in the 1960s. SWAPO thus learned from the experiences of the liberation movements in Angola, Mozambique, Zimbabwe and South Africa (Sparks and Green 1992:32). These movements provided varying degrees of moral and material support to the organization. SWAPO also operated from Ghana, Tanzania, Lesotho, Senegal, Swaziland, Botswana, Egypt, Algeria, Sweden, Finland, the USSR, North Korea, and the People’s Republic of China, West Germany, United States of America and the United Kingdom (Sparks and Green 1992:31). Independence for Namibia was granted in 1990. With regard to custody, liberation struggle archives are jointly housed at the SWAPO Party Archives Centre (SPARC) and the National Archives of Namibia.

2.1.8 SOUTH AFRICA

The South African National Congress (SANC) as a national liberation movement was formed in 1912 to unite the African people and spearhead the struggle for fundamental political, social and economic change (Mckinley 1990:19-21; James 2003:29). In 1925, it was renamed the African National Congress and its military wing was Umkonto we Sizwe (MK) (Zulu for “spear of the nation”) formed in 1961. MK’s objective was to disrupt the life of the

country by the sabotage of government installations (Mazrui and Tidy 1984:156). Lodge (1990:46) submitted that MK's revolutionary strategy aimed at the overthrow of the existing ruling class and complete dismantling and replacement of the state apparatus. As a matter of fact, MK troops began urban guerrilla warfare in 1979 when they attacked and seriously damaged the main police station in Soweto, killing four policemen (Lodge 1983/84:153-180; Mazrui and Tidy 1984:156). MK operated from Angola, Tanzania, Mozambique, Lesotho, Swaziland, Zimbabwe, Zambia and Botswana to name a few countries (Mazrui and Tidy 1984:156).

The ANC received military aid from East bloc countries and from the People's Republic of China. Financial support was also rendered by Nigeria, Algeria, Egypt, Gabon, the Ivory Coast, Senegal and Saudi Arabia. Western nations that assisted the organization included Sweden, Canada, Denmark, Norway, the Netherlands, Austria and Italy (Karis 1983: 194; Sellstrom 2002:394-402). The ANC was supported likewise by the World Council of Churches (WCC) and the United Nations Organization together with the OAU which officially recognized the Pan African Congress (PAC), which is discussed below, and the ANC as national liberation movements (Valentine 1987:116). Karis (1983:194), Morrow (1998:498-99) and Lissoni (2009:288) postulated that since its outlaw in 1960, the ANC in exile became a well organized and internationally supported movement which established an extensive network of fraternal relations with both communist and democratic socialist parties. There is also evidence to the effect that the British Labour Party and the French Socialist Party lent financial support to the organization leading to the country's independence in 1994.

The Pan Africanist Congress (PAC) was formed in 1959 by Robert Sobukwe as an African party in competition to Albert Luthuli's non-racial SANC. Following the banning of the PAC in 1960, militant supporters formed a quasi-military

movement known as POQO⁵ and unlike MK; it attacked white people, a form of Fanonist violence carried out with pangas, machete-like knives and only a few guns (Mazrui and Tidy 1984:156). It was only after 1968 that the military wing of the PAC became known as the Azanian People's Liberation Army (APLA). APLA operated from Angola, Tanzania, Mozambique, Lesotho, Swaziland, Zimbabwe, Zambia and Botswana. Against this background, the study now presents an overview of the repositories administering private archives in South Africa. It should be noted from the onset that some of these private archives are dedicated to the records of a particular business or other institution while others at universities for example are multifaceted collections drawn from many sources.

2.1.8.1. AFRICAN NATIONAL CONGRESS ARCHIVES

The ANC Archives have in custody documents that were either produced by the ANC, about the role of the ANC and its allies in the struggle for liberation or directly concerned with the ANC. According to Ramdhani (1998:67), records in custody at the ANC archives include:

- i. Documents of all types – including internal party documents
- ii. Born print audiovisual material
- iii. Promotional items
- iv. Published books
- v. Photographs

The University of Fort Hare has been designated as the official repository of the ANC Archives. The ANC retains ownership and copyright of all its materials, and places them on permanent loan at the University. A joint ANC-Fort Hare Archives Committee manages the cooperation between the two partners (ANC 2006).

⁵ There is no clarity on the meaning of the word 'Poqo'. The generally accepted explanation is that it is an abbreviation of the Xhosa name UmAfrika Poqo, meaning 'blacks only'. Another possible meaning is "Africans alone". It is clear the name indicates the exclusive nature of the organization.

2.1.8.2 ALAN PATON CENTRE AND STRUGGLE ARCHIVES

Alan Stuart Paton (1903-1988), famed author of *Cry, the beloved country* (1948) was also a founding member of the Liberal Party of South Africa (1953). Paton was a prolific writer of both literary works and works on political matters. Consequently, the Alan Paton Centre and Struggle Archives based at University of KwaZulu-Natal (UKZN) in Pietermaritzburg, South Africa not only holds Alan Paton's literary works and related documents and manuscripts, but also papers pertaining to the Liberal Party and other institutions and organizations which contributed to the struggle against apartheid in South Africa.

The APC & SA is an archive with a library and a museum component. The APC collects, preserves and conserves documents, manuscripts, papers, books, journals, tapes, videos, posters, artefacts and information on aspects of resistance to apartheid in the KwaZulu-Natal Midlands region. From 1992 to 1994 it was part of an education for democracy project, and from 1995 to 1998 it was involved with an oral history project: 'Recording the anti-apartheid struggle in KwaZulu-Natal', as part of which many activists who had been members of either the Liberal Party or the ANC were interviewed. It also houses the Sinomlando Project, the oral history project of the School of Theology, which focuses on the role of the church in the apartheid era, particularly the role of the black clergy, and women in the church (Alan Paton Centre and Struggle Archives 2008). The APC & SA is one of the library's special collections at the University of KwaZulu-Natal, South Africa.

2.1.8.3 DISA

Digital Imaging South Africa (DISA) is based at the Killie Campbell Collection at UKZN in Durban, South Africa. The project aims at making accessible to scholars and researchers worldwide materials relating to South Africa's struggle for democracy between 1960-1990 (Ngulube 2002:77). The emphasis of the project is on periodicals and it covers the three key decades in the growth of opposition to apartheid rule, a period when the African National Congress (ANC), black consciousness, and other resistance

movements were very active (DISA 2008). The project has also assembled for digitization material pertaining to trade unionism, religion, health, culture and gender which was pertinent to the social and political history of the era of anti-apartheid resistance (Peters and Pickover 2002:14).

In 2002 DISA sought to complement this first phase of digitizing journals of the liberation struggles. The original intention of this second phase (DISA 2) was to build on the serialized digital resource through archival content about the liberation struggle. The identification and selection of content was to be centred round the efforts of local scholars. This second phase began in 2003 and is entitled *Southern African Freedom Struggles, c.1950–1994* (Pickover 2008:192). DISA continues to be a critically important partner with Aluka in South Africa and this arrangement at local level promotes networking, the sharing of resources and eliminates duplication of effort.

DISA continues to be a critically important partner with a number of institutions and organizations including JSTOR/Aluka in South Africa (DISA 2010). DISA's involvement with these partner institutions is enabling the transfer of digital imaging skills to several remote capture sites in South Africa. DISA is currently self-funded. To date, DISA has digitized the following: Total number of pages 213 768 (116,881 journal pages and 96,887 archival document pages including posters); total number of music: 1 500 songs; total number of hours of video: 150hours; total number of oral histories: 57 (Liebetrau 2010). See also Section 2.2.6.

2.1.8.4 GANDHI-LUTHULI DOCUMENTATION CENTRE

The Gandhi-Luthuli Documentation Center is based in Durban, South Africa and its archives contain a very large Indian collection but have also begun work to include the history of apartheid resistance in the KwaZulu-Natal Province by acquiring the records of individuals, families, organizations and institutions (Gandhi-Luthuli Documentation Centre 2007). India and Mahatma Gandhi played an important role in supporting the liberation struggle against

apartheid and in promoting a culture of respect and co-existence amongst nations.

The archives have a very large Indian collection pertaining to the history of resistance in the KZN province to include the records of individuals, families and organizations. The centre has in custody papers, manuscripts, audio-visual material, artifacts etc relating to the history of the Indian community in South Africa and have since broadened their scope to include the history of apartheid resistance in KwaZulu-Natal (Gandhi-Luthuli Documentation Centre 2009). The Gandhi-Luthuli Documentation Center is one of the library's special collections at the University of KwaZulu-Natal, South Africa.

2.1.8.5 LIBERATION ARCHIVES – UNIVERSITY OF FORT HARE (UFH)

The University was recognized as one of the most prestigious on the continent with its reputation for excellence and produced equally well-known alumni in the likes of Nelson Mandela, the late President Seretse Khama of Botswana, Yusuf Lule of Uganda, Robert Mugabe of Zimbabwe, Prime Minister Ntsu Mokhehle of Lesotho and Prime Ministers Fwanyanga Mulikita of Uganda and Elijah Mudenda of Zambia. Other alumni are well known African nationalists and politicians such as Oliver Tambo, Govan Mbeki, Chris Hani of the African National Congress (ANC); Robert Sobukwe, who founded the Pan Africanist Congress (PAC); Mangosuthu Buthelezi of the Inkatha Freedom Party (IFP); Herbert Chitepo of ZANU and Eluid Mathu, the first African member of the Kenya Legislative Council (Stapleton and Maamoe 1998:413).

In consequence, the Liberation Archives consists of a variety of personal and organizational records kept during the apartheid era. Personal records in custody include those of prominent individuals like Albert Luthuli, Oliver Tambo, Nelson Mandela, Govan Mbeki, Robert Sobukwe and Thabo Mbeki. Much of the material in the University's library consists of records of the ANC foreign missions. The missions operated in 33 countries around the world. Among the records are the correspondence of each mission, press-cuttings,

anti-apartheid posters, photographs, and audio-visual records of mission activities.

In summary, the UFH has been designated as the official repository of the ANC Archives. Currently, the records of Solomon Mahlangu Freedom College (SOMAFCO)⁶ represent the largest and arguably the richest collection in the ANC archives (Moodley 1993:608; Stapleton and Maamoe 1998:413; Ramdhani 1998:67-68; Morrow, Maaba and Pulumani 2004:vii). The University of Fort Hare archives also houses documentation from three former liberation movements: the Pan Africanist Congress of Azania, the Azanian People's Organization and the Black Consciousness Movement of Azania (Maaba 2001:417) and with all these vast collections, Fort Hare has become a major centre for research into the history of South African's liberation (Maaba 2001:418).

2.1.8.6 NELSON MANDELA FOUNDATION

The Nelson Mandela Foundation (NMF) is based in Johannesburg, South Africa and is one of South Africa's most recently-established heritage initiatives. The NMF leads the development of a living legacy that captures the vision and values of Nelson Mandela's life and work. Mandela's legacy is well captured by Josias (2005:130) who stated that:

Stories about Mr Mandela's life and work are scattered around the world. They are to be found in institutions holding collections of archival material, in archival collections in the custody of individuals, in the

⁶ Following the Soweto uprising of 1976, a large number of young people, mostly students, left South Africa to join the ANC in exile. In order to cater for the education of these students and to counter-act the negative impact of South Africa's 'Bantu Education', the ANC officially opened the Solomon Mahlangu Freedom College (SOMAFCO) in 1979, although classes had begun the previous year. Located on land donated by the Tanzanian government near Mazimbu, SOMAFCO was named after a student who had gone to exile in 1976, where he was trained as an MK operative, but was eventually captured and executed when attempting to infiltrate South Africa (Stapleton and Maamoe 1998:413).

organizations that Mr Mandela belongs to or has been closely associated with and in the interactions that Mr Mandela has had with countless numbers of people, for instance, as a family member, friend, colleague, anti-apartheid leader, political prisoner, chief negotiator, international statesperson and first democratically elected President of South Africa.

The collections housed at NMF consist of original correspondence, photographs, oral sources etc and these all relate to records from the office after Mr. Mandela's retirement as President of South Africa in 1999, his personal archives, the records of Nelson Mandela Foundation and records of organizations and individuals that are related to the life and times of Mr. Nelson Mandela. The collection also includes material, speeches, tributes and official court records and coverage of the Rivonia trial. In addition, the foundation has anti-apartheid movement archives which seek to document international solidarity in the struggles against apartheid and the bulk of this collection is Euro-centric in scope (Nelson Mandela Foundation 2010).

The NMF is governed by a Board of Trustees which has collective responsibility to provide effective governance and the board meets at least twice a year. The NMF is self-funded and relies on the generous support it receives from its myriad of donors. The NMF March 2008 – February 2009 Annual Report noted that through the institution's Resource Mobilization Portfolio, located in the Chief Executive's Office, it was enabling the organization to meet its fundraising requirements (NMF Report 2009).

2.1.8.7 UWC – ROBBEN ISLAND MAYIBUYE ARCHIVES

The Robben Island Museum (RIM) operates as a site and a living museum. It aims to develop the Island as a national and international heritage and conservation institution (RIM 2008-2009). RIM manages a collection of artifacts, historical documents, photographs, art works and audio-visual

material. These materials are housed in the UWC-Robben Island Mayibuye Archives, the official collections management unit of RIM. These archives provide a unique and often fragile documentary record of South African history and culture, particularly with regard to the apartheid period, the freedom struggle and political imprisonment in South Africa (Robben Island Museum 2008; Fredericks and van Wyk 2006:269).

The archives are vast, comprising more than 100 000 photographs, 10 000 film and video recordings, 5 000 artefacts from the Island and elsewhere, 2 000 oral history tapes, 2 000 posters from the struggle, more than 300 collections of historical documents and an extensive art collection, including the UN-sponsored International Artists Against Apartheid Exhibition, and 10 000 political cartoons.

In many ways the archives are an inside history of the struggle. People and organisations risked their lives to record the struggle against apartheid from within, at a time when repression and censorship were rampant, and Mandela's name scratched on a coffee cup could get you four years in jail (Robben Island Museum 2008). In terms of corporate governance, RIM is governed by a Council appointed by the Minister of Arts and Culture. RIM is mainly funded through the government treasury which means it must compete with other equally demanding competitors, including other heritage organizations (Robben Island Museum 2008-2009).

2.1.9 SWAZILAND

The Kingdom of Swaziland became a British protectorate following the Anglo-Boer War in 1903 and in 1907 it became one of the High Commission Territories. Independence for the country was granted in 1968. Dhlamini, O'Meara and Davies (1985:6) proposed that Swaziland's independence stemmed from the strategic decision of major colonial powers, confronted with intense anti-colonial struggles elsewhere to abandon formal control over all their African colonies.

However, the form of decolonization in Swaziland was profoundly affected by domestic struggles in the form of industrial action and Dhlamini, O'Meara and Davies (1985:7) observed that trade unionism represented the most militant phase of working class struggle in Swaziland's history. The Imbokodo National Movement (INM) led by King Sobhuza II hogged the limelight with its ideology of traditionalism and its role in breaking the 1962-63 industrial strikes. The INM led the nation to independence in 1968 as a constitutional monarchy (Dhlamini, O'Meara and Davies 1985:7): 8-9). Throughout its post-independence period, the country consistently refused to render any concrete support to the liberation movements of the region (Dhlamini, O'Meara and Davies 1985:71). In consequence, the National Archives of Swaziland does not have in custody records belonging to the liberation struggle.

2.1.10 TANZANIA

The mainland part of Tanzania became independent in 1961 under the leadership of Julius Nyerere. The transition to independence was peaceful and owed much to the internal socio-economic contradictions that worked in the Tanganyika African Union's (TANU) favour. According to Coulson (1982:109), a combination of an enlightened workforce and the vibrancy of trade unionism gave educated Tanganyikas an opportunity to organize effective political campaigns. This view was also echoed by Yeager (1989:21), who stated that TANU emerged from the Tanganyika African Association and from a growing number of proto-political interest groups. Nyerere (1967:1) encapsulated the prevailing situation then in Tanganyika and is quoted profusely:

Modern political development in Tanzania (Tanganyika) started in 1954 following the birth of the Tanganyika African National Union. Historical circumstances favoured Tanganyika. --- the lack of general economic or social development in the country had at least the incidental advantage that there existed no really strong local vested

interests supporting colonialism or privilege. In addition, Swahili served as a cohesive force in unifying the majority of the people. These factors combined to provide an opportunity for the rapid growth of an organized and united demand for self-government, for independence. National freedom – *Uhuru* – was therefore an uncomplicated principle as it required no justification to the audiences of TANU members. Difficult hurdles though were photographic memories that people had of the Hehe (1891-98) and Maji Maji (1905-07) wars against German colonialists and of their ruthless suppression. European military might sounded invincible and TANU had thus to convince the people that peaceful methods of struggle for independence were possible and could succeed.

After its attainment of independence, Tanzania shared the ideals of the OAU as it wanted the total liberation of Africa. Due to the commitment of the Tanzanian government to the liberation struggle, Dar es Salaam, the capital was chosen as the headquarters of the OAU's Liberation Committee. Prior to this honour, Tanzania was already the biggest reception centre for politicians and refugees from southern Africa (Dube 1975:32) and according to Minja (1975:88), this influx was a result of the political upheavals in many new African states and especially the continuation of white minority regimes in southern Africa. The ANC School in Tanzania, the Solomon Mahlangu Freedom College (SOMAFCO) bears testimony to this fact amongst several others. With regard to records pertaining to liberation movements, these have since been repatriated to the respective countries. Claims by the National Archives of Tanzania that it was overseeing the management of the now defunct OAU liberation committee's documents presently in the custody of the Tanzania Defence Forces (TDF) could not be verified as access was restricted.

2.1.11 ZAMBIA

The country attained independence in 1963 following a sustained civil disobedience campaign led by the United National Independence Party (UNIP) under Kenneth Kaunda. The crucial stimulant to the emergency of African nationalism in Northern Rhodesia (Zambia) was the threat of amalgamation between Northern and Southern Rhodesia (Mulford 1967:333). After independence, Kaunda, like his other luminary such as Nyerere of Tanzania assumed a leading role in peace initiatives in southern Africa and supported the Zimbabwe African People's Union (ZAPU) under Joshua Nkomo, SWAPO and South Africa's ANC.

SWAPO like ZAPU was allowed to set up bases in Zambia and the ANC was headquartered in Lusaka. Owing to Kaunda's support for SWAPO and the ANC, Zambia was frequently subjected to military attacks by South Africa. Zambia's support was even extended to the Governments of Angola and Mozambique which also resulted in retaliatory attacks by UNITA and RENAMO who by then were involved in civil wars in those countries. The Rhodesian Front government also carried out military raids on Zimbabwe People's Revolutionary Army (ZIPRA) bases in Zambia. With regard to records pertaining to liberation movements, these have since been repatriated to the respective countries. The National Archives of Zambia has in stock archives pertaining to the country's political resistance and others are being administered privately by their respective political parties.

2.1.12 ZIMBABWE

In the case of Zimbabwe, the Zimbabwe African People's Union (ZAPU), led by Joshua Nkomo was formed in 1961 as a national movement to advance the interests of the black populace in the then Southern Rhodesia. Its military wing was the Zimbabwe People's Revolution Army (ZIPRA), formed in 1972 to spearhead the execution of the armed struggle. In the early 1970s, ZIPRA operated in the northwest, west, southwest and Midlands regions while their comrades in arms, the Zimbabwe African National Liberation Army (ZANLA),

operated mainly in the east, northeast and southeast of Southern Rhodesia (Sibanda 2005:162). ZIPRA operated from Zambia and Botswana to name a few and according to Dabengwa (1995:27), Brickhill (1995a:54), Ranger (2004:215-234), Saunders (2007:13) and Tendi (2008:379), contrary to claims that ZANU started the armed struggle in 1966 in Chinhoyi, the fact is that ZAPU's armed struggle started in 1965 when small detachments were sent into the country

Throughout the 1970s, ZAPU applied its two-pronged approach of fighting and negotiating. It tried to form coalitions with other black liberation movements in the country, first with the Southern Rhodesia African National Congress (SRANC) in the early 1970s and then under the Patriotic Front (PF) with ZANU (Sibanda 2005:220). It also tried its hand at a military unity with the Zimbabwe African National Union (ZANU), leading to the formation of the Zimbabwe People's Army (ZIPA). However, like the PF, ZIPA faltered (Sibanda 2005:220). The post-independence struggle in Zimbabwe between ZANU and ZAPU saw the confiscation of ZAPU war records and records of ZAPU's history by the ZANU led government from the party's archives in 1982. Chimhanda (2003:9) commented that:

The absence of these documents made it difficult to access official ZAPU documents on the party's history. There is nowhere where one can read through a collection of ZAPU documents. In spite of the signing of the Unity Accord in 1987, the documents that were confiscated from ZAPU have not yet been returned. One acknowledges the work being done by the Mafela Trust⁷ today in attempting to reconstruct the history of ZAPU, but they too mourn the absence of documented material.

⁷ The Mafela Trust is a group of ZAPU ex-combatants and historians in Bulawayo. The Mafela Trust was set up just after independence as a way of re-integrating ZAPU ex-combatants into civil society.

ZANLA was the military wing of the Zimbabwe African National Union (ZANU) during the struggle against settler colonialism. ZANU was formed in 1963 under the leadership of Reverend Ndabaningi Sithole as a break-away nationalist movement from ZAPU seeking independence and freedom for the indigenous people of Zimbabwe, then Southern Rhodesia (O'Meara 1982:29). In 1964 both parties were banned, their leaders were detained and imprisoned and the organizations relocated to Lusaka, Zambia (Kriger 2003:23).

ZANLA was later to operate from Tanzania, Mozambique, Ethiopia and Libya to name a few. When academic work began on the war after 1980, researchers did not have access to the records of any armies. ZANLA's files were unsorted and closed to scholars (Bhebe and Ranger 1996:1; Frederikse 1982:1). In view of the preceding statement, could it be that the files remain unsorted to this day or maybe the files of other protagonists like the Rhodesian army files are still in South Africa? Be that as it may, upon attainment of independence in 1980, the Zimbabwean Government made it clear that political and diplomatic support would be given to movements fighting to liberate neighbouring South Africa. The following two sections provide an insight into the repositories managing liberation struggle archives in Zimbabwe.

2.1.12.1. MAFELA TRUST

The Trust originated in a programme of the Zimbabwe African People's Union (ZAPU) to identify and commemorate its war dead. According to Brickhill (1995b:163), the conflict between ZANU and ZAPU in the 1980s left its own bitter legacy. It was this conflict and the attempted suppression of ZAPU which prevented that organization from commemorating its own dead immediately after independence.

Appropriately, the origins of the Mafela Trust itself are traced to the last wishes of a liberation hero who died after independence had been achieved.

Lookout Masuku was the last war-time commander of ZIPRA and from his hospital bed; he dictated several letters dealing with ZIPRA affairs and the plight of ex-combatants. In one of these letters addressed to the then National Archives Director, Angeline Kamba, he requested that the ZIPRA war records be donated to the National Archives (Brickhill 1995b:164). "Mafela" (the Fallen One) was Masuku's pseudonym during the war and his own contribution to Zimbabwe's liberation is today commemorated as part of this larger legacy in the Mafela Trust, whose work brings together many of the concerns of the last years of Masuku's own life (Brickhill 1995b:165). Commenting on the need for the history of the liberation struggle to be re-written in Zimbabwe, Nkomo (2006) noted that:

After independence some ZIPRA archives went missing and we are still looking for them and this is why we should strengthen Mafela Trust to play that role. When some of the textbooks were written, the authors had access to information about ZANLA and they did not have access to ZIPRA archives.

The Mafela Trust is thus an organization set up to research and document the political and military activities of ZIPRA during the liberation war and its archives are in Bulawayo, Zimbabwe.

2.1.12.2. ZANU PF ARCHIVES

The ZANU PF Archives contain the records of ZANLA's military wing, ZANLA. The archives are vast and include oral history recordings, personal correspondences and written reminiscences, photographs and press cuttings. The ZANU PF archives are located at the ZANU PF headquarters in Harare, Zimbabwe and are not accessible to the public.

2.2 LIBERATION STRUGGLE PROJECTS

A number of projects worldwide are striving to capture the history of the liberation struggle and the next section gives an overview of some of the projects.

2.2.1 SOUTHERN AFRICAN DEVELOPMENT COMMUNITY (SADC) PROJECT: A HISTORY OF THE LIBERATION STRUGGLE IN SOUTHERN AFRICA

The Southern African Development Community (SADC) through its history project aims at collecting the history of the liberation struggle in the Southern African region. The OAU Liberation Committee was wound up in 1994 following South Africa's attainment of independence and SADC has thus taken up the task of documenting that history. The project is operational in Angola, Botswana, Mozambique, Namibia, South Africa, United Republic of Tanzania, Zambia and Zimbabwe. In an inspirational address to researchers in 2005, Ambassador Hashim Mbita, the project's patron stressed the need to (The SADC Today 2006):

---record the inspiration, commitment, determination, sacrifices, means, strategies and experiences gained at different stages. The decolonisation struggle which engulfed the African continent during the last 60 years was basically one, though fought in various parts and against different colonizing powers. History should be reflected in proper perspective through the African eye because many a time it has been written from outside the continent.

The project was approved by the Summit of SADC Heads of State and Government when they met in Botswana in August 2005 to mark the Silver Jubilee of the regional community. The project is funded entirely by SADC governments (The SADC Today 2006) but not all governments are honouring their financial obligations which threaten the success of the project. In a communiqué address to member states, King Mswati appealed to member states for funding and pointed that it was imperative to note that the Hashim Mbita research unit had submitted the draft chapters on the liberation of Southern Africa to the Secretariat during the period under review as part of progress made thereof (Swazi Observer 2009).

The SADC Council of Ministers noted that significant progress had been made in the implementation of this project, documenting the history of the liberation struggle both from oral interviews with participants in the liberation struggle, as well as with various liberation movements' leaders, guerrilla fighters and supporters of the liberation struggle in their ranks. In addition, research has been carried out in the core countries in which liberation wars were waged, namely, Angola, Mozambique, Namibia, South Africa and Zimbabwe, as well as in the Frontline states of Botswana, United Republic of Tanzania and Zambia, and other SADC Member States of Lesotho, Malawi and Swaziland.

The research has now progressed towards research in other African countries and organizations outside the SADC Region and the world at large which supported and contributed in various ways, to the success of the liberation struggle (SADC Council of Ministers 2009). However, SADC has not yet engaged in digitization. Efforts to establish the co-ordinator of this project and as to where the records collected under this project will be deposited were fruitless due to non-response to the present researcher's inquiry via email. Walebowa (2010), who works in the registry at SADC House acknowledged receiving my email and re-routing it for the attention of the Director but despite several reminders, the required information could not be extracted.

2.2.2 SOUTH AFRICAN RESEARCH AND ARCHIVAL PROJECT (SARAP)

The South African Research and Archival Project (SARAP) is located on the campus of Howard University in Washington, DC. SARAP was designed to identify, locate, inventory and disseminate information pertaining to the involvement of Americans in the liberation struggle of South Africans, especially during the anti-apartheid movement. Although the project focuses primarily on the African American role in the struggle against apartheid, the scope extends into southern Africa, where many South Africans migrated, settled, and continued their struggle for freedom. This project also extends to other parts of Africa as well as to Europe and the Americas, reflecting the global reach of South Africa's freedom struggle (South African Research and

Archival Project 2001). SARAP has engaged in digitization as evidenced by their provision of online researchers' guides.

2.2.3 THE UNIVERSITY OF CONNECTICUT-AFRICAN NATIONAL CONGRESS PARTNERSHIP

The history of this project traced back to March 8, 1999 when the University of Connecticut signed a partnership agreement with the ANC to promote international understanding and cooperation based on the principle of reciprocal learning and consultation. The Memorandum of Understanding between the University of Connecticut and the African National Congress established a number of initiatives including the creation of the Comparative Human Rights Program (which later became the UNESCO Chair and Institute of Comparative Human Rights), the ANC Archives Project, and the ANC Oral History Project (African National Congress Oral History Transcript Collection 2007).

The goals of the ANC Archives Project are to share knowledge and expertise in archival administration, as well as to acquire, make accessible, preserve and publicize materials dealing with the African National Congress and human rights. South African delegates were sent to the University of Connecticut beginning in 1999 to learn archival techniques and receive training from the staff of the Thomas J. Dodd Research Centre. In 2000, archivists from the University of Connecticut travelled to South Africa to assess the conditions of the ANC collections housed at the University of Fort Hare, as well as to assist in the development of a long term preservation strategy (African National Congress Oral History Transcript Collection 2007).

Another element of the project is to research the locations of ANC materials held in repositories in North America and to assist in obtaining copies or returning collections to South Africa (Memorandum of Understanding Between the University of Connecticut and the African National Congress, 1999). The ANC Oral History Project is designed to preserve accounts of the lives and

struggles of those who fought apartheid in South Africa (African National Congress Oral History Transcript Collection 2007).

2.2.4 AFRICAN ACTIVIST PROJECT AT MICHIGAN STATE UNIVERSITY

The African Studies Centre at Michigan State University has an African Activist Archive Project which seeks to preserve for history the record of activities of U.S. organizations and individuals that supported African struggles for freedom and had a significant collective impact on U.S. policy during the period 1950-1994. The organizations and individuals in mind here include community activists, students, churches, unions, city and county councils, state governments, and others. The project focuses mainly (but not exclusively) on smaller local and regional organizations that supported the struggle against colonialism and white minority rule in Africa, especially in Angola, Guinea Bissau, Mozambique, Namibia, South Africa and Zimbabwe (African Activist Archive 2008).

Their advocacy reached a peak in the U.S. anti-apartheid movement in the 1970s, 1980s and early 1990s. They were involved in campaigns for sanctions against South Africa and divestment of U.S. companies that did business with apartheid. These organizations produced newsletters, pamphlets, leaflets, policy papers, meeting minutes, strategy papers, correspondence and visual material such as posters, buttons, photos, slideshows and videos. Many of these organizations were ad hoc in nature and no longer exist, but individuals associated with those groups preserved vital records (African Activist Archive 2008).

The project is locating material produced by these organizations, preserving that material by placing it in archives at depository institutions, and producing a database directory of the organizations and material. Selected material is currently being digitized and placed on the web in order to make the material available to scholars and others in the U.S. and Africa (African Activist Archive 2008).

2.2.5 NORDIC DOCUMENTATION ON THE LIBERATION STRUGGLE IN SOUTHERN AFRICA UNDER THE AUSPICES OF THE NORDIC AFRICAN INSTITUTE

The Nordic region played a crucial role in rallying international support for liberation in Southern Africa. These disparate regions of the globe were linked together by long-standing missionary ties and the extensive mobilization by solidarity groups beginning in the 1960s. The governments of four countries—Sweden, Norway, Finland, and Denmark—provided support to the movements in Southern Africa and were significant sources of financing for parallel efforts by the United Nations and for anti-apartheid organizations elsewhere, such as the International Defence and Aid Fund. A fifth Nordic country—Iceland—supported these initiatives despite its lack of direct involvement. In every sphere of activity except the military, the Nordic region was almost certainly the single most significant source of direct support for Southern African liberation struggles in the 1970s and 1980s (Aluka – Nordic Africa Institute, National Liberation in Southern Africa 2006-2008).

The Nordic Africa Institute (NAI), based in Uppsala, Sweden, has taken the lead in documenting this history, beginning with a research project conducted at NAI from 1994 to 2001 titled *The National Liberation of Southern Africa: The Role of the Nordic Countries* co-ordinated by Tor Sellström. The project has been financed by the Swedish Foreign Ministry and its mandate was to identify archives that documented the Nordic countries' involvement in the liberation struggles in Southern Africa (Svard 2009:1). The research project has published five volumes on the theme.

The Swedish part of research resulted in the publication of three volumes by Tor Sellström entitled *Sweden and National Liberation in Southern Africa* Volumes I and II and *Liberation in Southern Africa Regional and Swedish Voices* Volume III. The other part of the project resulted in the Norwegian volume written by Tore Linné Eriksen entitled *Norway and national liberation in Southern Africa*, the Finnish volume by Iina Soiri and Pekka Peltola entitled *Finland and national liberation in Southern Africa* and the Danish volume by Christopher Munthe Morgenstjerne entitled *Denmark and national liberation in*

Southern Africa: a flexible response. Iceland is yet to write its official version (Svard 2009:1-2).

The NAI is continuing with research on the history of Nordic involvement in Southern Africa and supports similar efforts by partners in Southern Africa. The NAI is thus working with Aluka (see below for more on this project) to ensure that the efforts of each are complementary and consistent with long-term plans for capacity-building of their Southern African partners (Aluka – Nordic Africa Institute, *National Liberation in Southern Africa* 2006-2008).

2.2.6 DIGITAL INNOVATION SOUTH AFRICA (DISA)

The project is based at the University of KwaZulu-Natal in Durban, South Africa and its mission is to digitize and make available online anti-apartheid journals and publications to the public worldwide. DISA makes use of digital technologies to promote the efficient and economical delivery of information resources to students, scholars, researchers and the wider community, locally and internationally (DISA 2010). See also Section 2.1.8.3.

2.2.7 ALUKA PROJECT

The name *Aluka* is derived from the verb *ukuluka*, which in Zulu means “to weave” (In Oshivambo, spoken in parts of Namibia, the word means “to return” or possibly, ‘to repatriate’). The choice of name reflects Aluka’s overarching mission – of joining together in a single place resources from around the world. The Aluka Project, “Struggles for Freedom in Southern Africa” is in partnership with DISA (Lalu 2007:29) and intends to stimulate debates on the liberation struggles and the analytical frameworks through which the freedom campaigns were originally studied and represented. The first phase of this project will focus on the freedom struggles in Mozambique, Zimbabwe, Namibia, South Africa and Botswana. In a subsequent phase, the scope of the initiative will include Angola, Tanzania, Zambia and other countries in the region that figure prominently in the larger freedom struggle (Isaacman, Lalu and Nygren 2005:56; *Struggles for freedom in Southern Africa* 2007). The Aluka project is ongoing and Harlow (2010), JSTOR’s

specialist in User Services confirmed that the collections remain available for access at www.aluka.org. A visit to the site seems to confirm this despite the reported challenges amid concerns that the project has stalled.

2.2.8 THE LIBERATION STRUGGLE LIVING ARCHIVE PROJECT

The focus of this project is to digitize audio-visual archival material of the post-colonial liberation struggles in South Africa. The Liberation Struggle Living Archive Project intends to preserve crucial audio-visual archives and to develop resources on the history of the South African liberation struggle into a digital format and to make them accessible and to utilize these digital archives to create interactive knowledge environments. The Liberation Struggle Living Archive Project is a joint initiative between Doxa Productions, the Centre for Humanities Study (CHS) at the University of the Western Cape, the French Audiovisual National Institute (INA) and DISA (Digital Innovation South Africa) at the University of KwaZulu-Natal (South African Liberation Struggle Living Archive Collection 2008).

2.2.9 DUTCH ANTI-APARTHEID AND SOUTHERN AFRICA SOLIDARITY ARCHIVE PROJECT

In March 2008 the Netherlands institute for Southern Africa (NiZA) handed the archives and related documentation collections of the former Dutch anti-apartheids groups which merged into NiZA in 1997 over to the International Institute for Social History (IISH) in Amsterdam. In order to realize the transfer of the NiZA collection, its description and integration into the IISH holdings, an extensive project was commissioned running from April 2008 to April 2011.

The focus of this project is on anti-apartheid material from organizations such as the South Africa Committee (from the 1960s), the Dutch Anti-Apartheid Movement, the Angola Committee/Holland Committee on Southern Africa, the Eduardo Mondlane Foundation, Institute for Southern Africa and Broadcasting for Radio Freedom. The archives and collections cover the period 1960 to 2000. The documentation collections are made up of a large number of

books, journals, photographs, posters and hundreds of videos, cassettes, badges, flags, T-shirts and other memorabilia (International Institute of Social History 2009).

2.3 SUMMARY

This chapter contextualized the study and provided where appropriate concise backgrounds to the genesis and evolution of these former national movements. As regards those countries that pursued the diplomatic route and those that chose the military route, attempts were made to illustrate how they attained independence. The struggle against colonialism was not an isolated event as countries within the region rendered assistance to each other in one way or another. Central in the emergence of nationalism in the region was the demand for self-determination leading to self government. Decolonization was either peaceful or violent. In the majority of countries as has been witnessed, there was armed conflict only to be preceded by negotiations.

This was the case in Kenya, Angola, Mozambique, Zimbabwe, Namibia and South Africa. Where there was no armed struggle, the transfer of power was constitutionally lobbied as was the case in Malawi, Botswana, Swaziland, Lesotho, Zambia and Tanzania. For each of the countries or liberation movement studied, a brief overview on the repositories holding the records, whether public or private was provided. The chapter concluded by giving an overview of the projects, worldwide that are striving to capture this history. The fact that there is an impressive catalogue of these projects demonstrates the importance attached to this period in history. As can be discerned from this presentation, private archives were generated abroad by both countries supporting the quest for independence from colonial rule and by former national liberation movements as they sought refuge. These private archives are thus scattered all over the world and they constitute part of the migrated archive and therefore arguably need restitution.

CHAPTER THREE: LITERATURE REVIEW

3.0 INTRODUCTION

Chapter Two contextualized the study and gave where applicable concise backgrounds to the former national liberation movements. As has been witnessed, the struggle to liberate the east and southern African region was not an isolated event, with the doctrine of Pan-Africanism acting as a unifying bond in furthering the emancipation cause. As a result, millions of records were not only generated within the region but abroad hence a world-wide documentary footprint was left in the wake of this historic epoch. This chapter examined the extant literature at the disposal of the study and it was therefore imperative to establish parameters to help in the study's orientation.

It should be noted from the outset that archives are a subset of records hence the dictum that archives are records but not all records are archives. Cook (1986) rightly pointed out that not all archives carry out a records management programme and the primary focus of this study was on the non-active stage of the records lifecycle. In other words, records and archives management activities are intertwined and cannot be divorced from each other hence the view that a continuum of care has to be provided in any records and archival processes.

In consequence, the review of the literature focused on the following aspects: the reasons for the need to undertake the literature review in the first place; historical perspectives in as far as records and archives management initiatives are concerned; and the need to examine archival theory and how its evolution has shaped the archival profession. A cocktail of issues were scrutinized but of central importance was to identify a plausible theoretical framework which could then be prescribed as a model for the management of liberation struggle archives.

3.1 THE IMPORTANCE OF LITERATURE REVIEW

Substantial professional debate has been invested in the importance of undertaking a literature review in any research endeavour. The wheel should not be reinvented and hence Kaniki (1999:17) asserted that no research exists in a vacuum but rather it relies on previous studies or writings that put research into perspective. In this regard, the rationale for the study was to establish a theoretical framework by examining existing records management theories and identifying the theory adopted for the study. It thus can be discerned that records and archives management formed the backbone of the study. This means that it is necessary to cover contemporary issues confronting the discipline and to reveal fundamental requirements for professional archival administration.

Stilwell (2000:173) shared similar sentiments and noted that review of the related literature should indicate, if applicable, the different views, agreements, disagreements and trends of thought on the topic of the research. Fink (1998:3) was in agreement with the foregoing view and remarked that the review should provide clarity on a given subject by revealing long-standing conflicts and debates. Stilwell (2000) further emphasized the fact that this literature needs to be accurately portrayed and acknowledged in the text especially when interpreting and discussing the findings. In other words, the literature review should be a comprehensive survey of previous inquiries related to the research and the critical part as perceptively put by Bearfield and Eller (2008: 62) was that:

Although it can often be wide in scope, covering decades, perhaps even centuries of material, ***it should also be narrowly tailored, addressing only the scholarship that is directly linked to the research question.*** By using a systematic approach to previous scholarship, the literature review allows the author to place, his/her research into an intellectual and historical context. In

other words the literature review helps the author to declare why their research matters.

Put succinctly, the literature review is a roadmap that points to the direction of the research and it should therefore cover aspects that are seminal to the subject under scrutiny. Kaniki (2000:49) advanced the view that researchers should not tend to simply describe and “parrot” other scholars’ ideas but provide critical insight and synthesization of the issues at hand. Consequently, literature reviews should not be unnecessarily long and unfocussed with the researcher attempting to include everything remotely close to the problem (Kaniki 2000:49). In summary, Leedy and Ormrod (2001: 70) have suggested a number of reasons for literature review and these include:

- i. When a researcher knows what others have done, (s)he is better prepared to deal with the problem (s)he has chosen to investigate with deeper insight and more complete knowledge;
- ii. The literature review reveals sources of data the existence of which one may not have known;
- iii. A review provides researchers with new ideas and approaches that may not have occurred to one;
- iv. It enables a researcher to make an evaluation by comparing other similar efforts done previously;
- v. It reveals investigations similar to one’s own and can show a researcher how collateral researchers handled these situations;
- vi. It can inform one about other researchers conducting work in this area – individuals whom you may wish to contact for advice or feedback.

The following cardinal points by Smit (1995:9) are also worth mentioning:

- i. It provides an introduction to empirical situations in which the research theme manifests itself;
- ii. It gives an indication of the methods suitable for data collection and analysis. Kaniki (2000:47) rightfully intoned that one of the main

purposes of the literature review is the presentation of the various methods and designs in the study of similar problems. By identifying the methods and critically analyzing them, one shows one's understanding of their application and is able to make an informed choice of the most appropriate procedure for the problem at hand (Kaniki 2000: 47). As will be demonstrated in Chapter four, the use of triangulation for data validation enabled the researcher to have more confidence in the research process.

- iii. It familiarizes the researcher with theories, definitions and theoretical argumentation concerning the problem theme;
- iv. A thorough study of the literature helps the researcher to formulate the hypotheses of his/her research theme more precisely.

Kaniki (1999:21) identified four types of literature reviews namely empirical, historical, thematic and theoretical reviews and the three found appropriate for this study were thus employed:

- i. Historical reviews – these consider the chronological development of the literature and try to break the literature down into phases or stages of development. A case in point here was the historical insight into the evolution of archival administration.
- ii. Thematic reviews – these are structured around different themes or perspectives in the literature and focus on debates between different schools. Examples, as will be demonstrated, pertain to the thorny issue of the conflicting goals of preservation versus access or to the contentious issue of appraisal.
- iii. Theoretical reviews – these trace theoretical developments in a particular area, often showing how each theory is supported by empirical evidence. An example is provided by the proliferation of theories on models for records and archives management.

3.2 HISTORICAL PERSPECTIVES

Humankind has grappled with documentation since time immemorial and the forms of documentation evolved from word of mouth to modern electronic systems. Leaves, skins, tree bark, stones, clay and rocks et cetera were some of the traditional methods used to document information (Motsi 2004:82). With the advances in technology, information has been captured on paper, magnetic tapes, hard drives, memory sticks, and DVDs. All this effort has been undertaken with a purpose. Records have lent administrative continuity to governments, institutions and organizations, and individuals and have thus provided the legal documentation necessary to protect people's rights and interests (Bradsher and Pacifico 1988:18).

With the aforesaid in mind, the need to provide a brief overview of the historical development of the archival profession became clear. This overview was necessary in order to comprehend present-day archival functions and management, an insight which helped to focus the orientation of the study and more importantly enabled an appreciation of continuities of practice.

The Sumerians, as early as the fourth millennium B.C., kept track of their busy economic and commercial life by recording their financial transactions on clay (Bradsher and Pacifico 1988: 20). In the 5th Century, the Athenians in ancient Greece cared for their records in the Metroon, a temple next to a court house in Athens. In the 6th Century, Justinian, the Roman Emperor ordered the construction of public buildings for the safe storage of archives in order to perpetuate memory and preserve public faith in them (Bradsher and Pacifico 1988: 20). In modern Europe, the church in the form of the papacy and monasteries as well as monarchies maintained rudimentary and peripatetic archives. The Simancas was recognized as the first distinct European archives repository when it was established by Charles I of Spain in 1543.

What is significant is the fact that early Mesopotamian societies, the Persians, the Egyptians, the Greeks, the Romans and the Chinese all realized the importance of records (Bradsher and Pacifico 1988: 20). However, prior to

1789 access was restricted if not impossible as the records belonged to the monarch (Bradsher and Pacifico 1988: 20).

The French revolution of 1789 was a watershed in archival administration as the embargo on public access to archives was lifted. The revolution brought with it the acknowledgement that public archives were essential to preserve and administer a nation's heritage. According to Hunter (2003:12) modern archives developed as a by-product of the French revolution. Posner (1984:5) concurred and remarked that the ideas that originated during the revolution namely, centralization of archives, state acknowledgement for responsibility of archives and the granting of access to the public constituted the main currents underlying archival development.

The establishment in 1894 of the Archives Nationales (a national centralized archive) demonstrated growing state responsibility to preserve and care for the records of its people. This centralization of archives represented a significant shift from the previously decentralized archival institutions in Europe. Another important milestone pioneered by the French was the development of modern archives systems and their underlying principle of provenance. The principle of "respect des fonds" required that groups of documents created by one office be treated as a unique unit and be preserved accordingly (Bradsher and Pacifico 1988: 29).

The 20th Century witnessed an outgrowth of national archival institutions in the Soviet Union, the United States, and the People's Republic of China and in many developing countries in Africa, Asia and Europe. National and international professional organizations were established to promote cooperation and professionalism among archivists. The National Archives of Zimbabwe, for example was established in 1935. Bradsher and Pacifico (1988:30) observed that whilst commendable efforts have been invested in the management of public records, many countries lack institutions to house the records of private entities or the personal papers of significant citizens.

Be that as it may, a number of professional associations that advance the interests of archivists and records managers have developed and these include the International Council on Archives (ICA), the International Records Management Trust (IRMT), Association of Commonwealth Archivists and Records Managers (ACARM), Association of Records Managers and Administrators (ARMA), ESARBICA (a branch of the ICA) and UNESCO. These bodies serve as vehicles of communication for professionals in the field and regional branches have since been established to improve communication.

In summary then, it can be discerned that the archival profession has not been stagnant. There have been many developments but provenance and original order have remained as the guiding principles of the archival profession although archivists around the world differ in their application. Provenance means respect for the source, creator or authorship and original order involves keeping records in the order in which they were kept by the creator.

3.2.1 Records management

Records management has been defined as that discipline responsible for the efficient and systematic control of the creation of records until final disposition (Shepherd and Yeo 2003:1). Pearce-Moses (2005) has defined records management as the systematic and administrative control of records throughout their lifecycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition. It was not within the scope of the present study to deal with records management per se considering that the records in question had been created already.

The present investigation focused attention on the last stage of the records lifecycle and this dovetails with Williams's (2006:11) observation that some records are born archival. The records of these former national liberation movements are unique and irreplaceable sources and should not be destroyed simply because they have fulfilled their immediate role.

3.2.2 Theoretical framework

This section presents the theoretical framework which guided this study. In view of the fact that we live in a time of intellectual ferment (Case 2007:142), scholars rely on basic assumptions regarding the nature of reality and the purpose and methods of investigation. Accordingly, the theoretical foundation of this study is anchored in the records continuum model. Case (2007:120) observed that models are often defined in relation to theories. In consequence, a theory is a set of related statements that explain, describe or predict phenomena in a given context (Case 2007:120). In the context of this study, the records continuum model which is an offshoot from the lifecycle theory provides the theoretical foundation upon which this study was premised.

Furthermore, the three other records management theories, that is, the records entity life history, the modified lifecycle and the integrated approaches were also discussed as part of this study. This discussion of the theories is linked to the reality of the situation under investigation, since models are ways of seeing things and according to Upward (2001), their acceptance or otherwise in an area like records management depends upon how much contact they make with the practical consciousness of those who undertake tasks that are considered to be part of that activity. It is this conceptualization of theories that therefore provides the theoretical framework for the present research.

3.2.2.1 Records entity life history

This theory advances the view that records have a life history, which is built on a sequence (birth, life and death), on iterations (recordings) and selections (choice of what is and what is not recorded and kept) of objects and actions. Shepherd and Yeo (2003:8), stated that the theory is valid for all records, whether paper or electronic. The records entity life history traces the evolution of a document from origination, through its transformation into a record, to its eventual destruction or permanent retention in an archive.

3.2.2.2 Lifecycle theory

Authorities worldwide seem to agree that the records lifecycle is a theory in common use (Shepherd and Yeo 2003:5) and it is invariably used in records management literature and widely accepted by professionals in the field (Yusof and Chell 2000:135). The theory can be traced back to the United States of America (USA) and is a brainchild of its celebrated archivist, Theodore Schellenberg (1956) who wrote about the "life span" of records. The National Archives of the USA adopted this theory in response to the ever increasing volume of records produced by organizations. The theory stated that records have a clearly defined life from birth to death, and the lifecycle theory was regarded as very relevant in providing a framework for identifying the specific elements or functions of records management (Penn, Pennix and Coulson 1994:12).

The principle behind this theory is that recorded information has a life similar to a biological organism in that it is born, lives and dies. Roper and Millar (1999) agreed that the records lifecycle has three stages which they termed the current, semi-current and non-current. This can also be divided into three stages. In stage one; the record is created, presumably for a legitimate reason and according to certain standards. In the second stage, the record goes through an active period when it has maximum primary value and is used or referred to frequently by the creating office and others involved in decision making. During this time the record is stored on-site in the active or current files of the creating office. At the end of stage two the record may be reviewed and determined to have no further value, at which point it is destroyed, or the record can enter stage three, where it is relegated to a semi-active status, which means it still has value, but is not needed for day-to-day decision making (Bantin 1994). Because the record need not be consulted regularly, it is often stored in an off-site storage centre. At the end of stage three, another review occurs, at which point a determination is made to destroy or send the record to stage four, which is reserved for inactive records with long-term, indefinite, archival value. This small percentage of

records (normally estimated at approximately five per cent of the total documentation) is sent to an archival repository, where specific activities are undertaken to preserve and describe the records.

The lifecycle model not only describes what will happen to a record, it also defines who will manage the record during each stage. During the creation and active periods, the record creators have primary responsibility for managing the record, although records managers may well be involved to various degrees. In the semi-active stage, it is the records manager who takes centre stage and assumes major responsibility for managing the records. Finally, in the inactive stage, the archivist takes the lead in preserving, describing, and providing access to the archival record (Bantin 1994).

Twofold disadvantages are synonymous with this theory. The major shortcoming of this theory is that it is found wanting in an electronic environment. As Barry (1994:251-6) pointed out, documents in a distributed electronic environment are dynamic and recursive in nature and may exist in more than one stage of the lifecycle simultaneously. They may not follow a serial path from creation to disposal but may be reappraised at the disposition time and reappear in an earlier stage (Barry 1994:251-6). Adami and Hunt (2005:117; An 2001) elaborated that the lifecycle theory is old-fashioned; it has passed its "use by" date as it does not accommodate the birth of electronic records in line with the ICT revolution. This view was further reinforced by Upward (2000; Yusof and Chell 2000:137) who observed that the records continuum model is appropriate in today's technologically driven environment. The records continuum model thus notes that the nature of records and their use has changes in an electronic milieu and also that both archivists and records managers need to be involved in the full lifecycle of the record. This brings us to the second weakness of the lifecycle model, which is that in all its versions, the lifecycle concept shares a demarcated view of the work of records managers and archivists. In other words, there is not only a

compartmentalization of the progression stages followed by a record but that of responsibilities as well. It is this worldview that is fundamentally challenged by records continuum thinking and practice (McKemmish 1998).

3.2.2.3 Modified records lifecycle

Because the records lifecycle and the record continuum models have many points in common (Chachage 2005:65), a blending of the prenatal stage of the records continuum and all stages of the records lifecycle was possible, resulting in the modified lifecycle theory. The attributes of the modified records lifecycle theory are the prenatal phase of the continuum model, the current phase of the lifecycle model, the semi-current phase of the lifecycle theory and the inactive phase of the lifecycle model (Chachage 2005:65).

3.2.2.4 Records continuum

The model traces its roots to Hilary Jenkinson (1937:8), who in his celebrated Manual alluded to the fact that there are plenty of cases where documents have been drawn into the administrative circle again after a century or more of idleness. The point Jenkinson (1937) was trying to put across then, was that records could lie dormant for a while and then be activated for business purposes. According to the continuum model, the distinction between records management and archives management need not be rigidly maintained (IRMT 1999).

An (2001) elaborated that the evolution of the concept of records continuum shows the processes of records management and archives management moving towards integration. The Australian Standard for Records Management AS 4390 (1996) has defined the records continuum model as a consistent and coherent regime of management processes from the time of the creation of records (and before creation, in the design of systems), through to the preservation and use of records as archives (cited in Flynn 2001:80).

The records continuum model demands that records and archives professionals meet current and future community expectations through professional and at the same time meet the operational requirements of the organization. In consequence, this means that this model ensures the involvement of records managers and archivists from the very beginning to the ultimate disposition of the records within the context of hybridization. In other words, the continuum approach means the end of the traditional demarcation between the functions of the records manager (or registrar) and the archivist as the two professions are brought under one records keeping umbrella. According to Shepherd and Yeo (2003:10), the continuum is a flexible and inclusive model that reflects a range of issues surrounding the role of records in contemporary organizations and society.

The continuum offers a holistic approach to records keeping, because managing records is seen as a continuous process where one element of the continuum passes seamlessly into another. Upward (2001), an adherent of this model has summed it all up by advancing the view that the continuum model provides a worldview that can help harness the development of knowledge in archives and records management globally.

Another proponent of this model, Atherton (1985-86) pointed out the logical weaknesses of the lifecycle theory. Its major shortcoming as Atherton (1985-86:47) and McKemmish (1998 and 2001:335 & 352) have remarked, centres on overlooking the working relationships between the archivists and records managers as this is counterproductive because the interests of records managers and archivists intersect (Harris 2000:29). In other words, under the records continuum model, archivists and records managers would be involved in all the stages of managing records. According to Atherton (1985:44) these stages are: the creation, classification, scheduling and maintenance and use of information. Millar (1997:14) further explained the four actions of records care under the records continuum model:

- i. identification and acquisition – archives management actions relate to the selection and acquisition of archives.
- ii. intellectual control – archives management actions relate to the arrangement and description of archives.
- iii. access – archives management actions relate to the description of archives.
- iv. physical control – archives management actions relate to the preservation of records.

In summary then, there has to be a continuum of access from a records and archives management perspective and as Flynn (2001:85) has postulated, the records continuum model is well adapted for the management of electronic records or to put it in Upward's (2001) words, it is more in tune with electronic communications and technological change than a lifecycle view. This study has taken into account all the three stages of the lifecycle for the simple reason that they are intertwined. Emphasis was on the non-current stage of the cycle in view of the fact that the records under study in this thesis have been created already, special emphasis will be put on the end of the lifecycle.

As Mnjama (1996:24) observed, many national archives in Africa are only managing the last phase of the records lifecycle – archival custody. However, considering that these records have since been created, selected as having continual value and their use regenerates the formative stage of the lifecycle, the need to provide a continuum of care and access remains paramount. Chinyemba (2003:36) shared this view and asserted that the two models are complementary and the bottom line is that records need to be managed from the start to the end of their existence. Curall and Moss (2008:70), thus highlight that the two models are built unquestioningly on the premise that managing and archiving information are two sides of the same coin.

An important point is that research within the ESARBICA region as noted by Mutiti (2001) and Ngulube and Tafor (2006), confirmed that the majority of archival institutions are still paper-based and therefore subscribe to the records lifecycle framework. The shift to electronic records is still in its infancy and consequently, the change process from paper to e-systems is bound to be more complex than is often realized (Wamukoya and Mutula 2005:76; Katuu 2009:133) and a clear and effective approach to this is required.

3.2.2.4.1 Relevance of the continuum model to the present study

The records continuum model was found suitable for this study because of its holistic approach as it broadens the interpretation of records and records keeping systems presented by the lifecycle model (Flynn 2001). In addition, as pointed out by Flynn (2001), it strengthens the bond between records and archives management, through inter-relating the transactional axis, the records keeping axis and the collective memory axis. As is clearly enunciated by Atherton (1985-86), Millar (1997), An (2001), Upward (2001), Shepherd and Yeo (2003) and others, the continuum model has many distinct attributes which makes it stand out from the lifecycle model and some of these include (Flynn 2001):

- i. All stages of the records are interrelated, forming a continuum in which both records managers and archivists are involved;
- ii. The lifecycle stages which the records supposedly undergo are in fact a series of recurring activities. Thus the continuum model unifies rather than separates various records keeping processes under both records and archives management;
- iii. The concept of a "record" is inclusive of records of continuing value (archives). The continuum therefore stresses the use of records and/or archives for transactional, evidentiary and historical purposes (memory), and in so doing harmonizes approaches to records keeping, whether records are kept for a split second or a millennium;
- iv. The continuum creates a seamless records keeping regime that embraces the multiple systems and families of records that serve the

entire spectrum of documentary needs, that is, business, regulatory, cultural, historical and even educational.

Because of these specific benefits, the continuum model was found appropriate for this study and hence its adoption.

3.2.2.5 Integrated approach

Roper and Millar (1999) have postulated that the need for an integrated approach is justifiable on the grounds that it is the only way to ensure that records are useful for current and future use. This is achieved by ensuring that these records are managed so that they are available and useful from their creation to their ultimate disposition. An integrated records management programme (Roper and Millar 1999) recognizes that records follow a life cycle and acknowledges the importance of caring for those records through a continuum of care. The primary purposes of an integrated records management service is (Roper and Millar 1999):

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

The integrated approach is a blending of the life-cycle and continuum models in an integrated records and archives management system. This approach was not found suitable for the present study considering that the records under scrutiny were born archival which eliminates the records management aspect per se.

3.2.3 Archives management

Archives management is that discipline concerned with the general oversight of a programme to appraise, acquire, arrange and describe, preserve, authenticate, and provide access to permanently valuable records (Pearce-Moses 2005). The term is also used interchangeably with archival

administration which similarly involves the professional management of an archival institution through application of archival principles and techniques. Williams (2006:19) identified the core functions of archives management as consisting of the following:

- i. acquisition, selection and appraisal;
- ii. arrangement and description;
- iii. provision of access and reference services;
- iv. storage and maintenance of archives;
- v. preservation and conservation;
- vi. advocacy and outreach.

These substantive functions were to be complemented by facilitative functions such as:

- i. setting and implementing goals, aims and objectives;
- ii. managing establishment, financial and human resources;
- iii. evaluating strengths and weaknesses;
- iv. measuring performance (Williams 2006:20).

Facilitative functions fall under strategic and practical initiatives involved in managing an archives service. These relate to the facilitative functions of policies, business plans, defining aims and objectives, staffing, finance and establishment. An examination of how facilitative and substantive functions have been shaped by archival theory will now be undertaken.

3.2.3.1 Archival theory

The word theory comes from the Greek *theoria* and more directly in modern use from the latin *teria*, meaning a looking at, viewing, contemplation or speculation. In English, the word came to mean mental view or contemplation from as early as the late sixteenth century (Eastwood 1994:122). In an archival context, the purpose of theory is that it helps in the process of building knowledge about archives and this fits well with Eastwood's (1994) view that every applied discipline operates on the basis of some abstract body

of knowledge. In other words, archival theory comprises the ideas about the nature of archival material as they have developed over time, confronted with the prevailing record situation in different cultures and juridical contexts (Duranti 2000).

Duranti (2000) and Tamble (2001:83) have argued that archival theory constitutes the core of archival science. This view has been frivolously challenged on the grounds of a common perception that a science is a type of study entirely objective by virtue of the rigorous manner in which it is carried out and the restricted range of topics to which it applies. Duranti's (2000) view holds water considering that the problems confronting archivists today need a scientific approach (Fredriksson 2002:41). An archivist must be knowledgeable about the inherent physical and chemical properties of archival material in order to tackle effectively its conservation and preservation requirements (Cunha 1990:202; Forde 2002:165 and Weber 1999).

Duranti (2000) summarized the discipline of archival science as comprising the following: firstly the actual principles and methods for the control and preservation of archival material, that is, archival methodology, and secondly the analysis of archival ideas, principles and methods and the history of the way they have been applied over time, that is, of archival practice. These characteristics are mentioned in archival scholarship in one way or another and constitute the organic theory of archives (Eastwood 1994:129; Roberts 1994:132).

A common denominator in archival theory that has stood the rigours of intellectual debate is that geographical, historical, historiographical and technological factors have largely shaped the dynamism of the archival profession. This largely explains why the debate on what constitutes archival theory is replete with disputation and explains why a unipolar definition has remained elusive. The two celebrated archival theorists in the 20th century; Jenkinson and Schellenberg for example were at loggerheads on archival issues with the latter, in 1954, pointed in his criticism of Jenkinson:

I am tired of having an old fossil cited to me as an authority in archival matters. I refer to Sir Hilary Jenkinson, former Deputy Keeper of records at the British Public Record Office who wrote a book that is not only unreadable but has given the Australians a wrong start in their archival work (cited in Smith 1981: 315).

Schellenberg's disagreement with Jenkinson's approach to archival matters was sufficient motivation for him to write a book in 1956 under the title, *Modern Archives: Principles and techniques*. Jenkinson called Schellenberg's ideas on selection dangerous (Tschan 2002:176). Meanwhile some (Eastwood 2004:44), would have it that Jenkinson was an unbending theorist and Schellenberg the unrepentant pragmatist. Eastwood (2004:44) noted that despite the antagonism between the two, both were concerned with the proper care of archives and were staunch advocates of the worth and dignity of archival work and the importance of archival education.

Ridener (2007:4) noting the schism that has characterized the archival profession pointedly observed that an intellectual history of archival theory has not, to date, been completed. It becomes patent to note that the ideas of leading or symbolic thinkers within the European, North American, Australian and of late developing countries' archival traditions have continued to be shaped by the exigencies of the situation. Cook (1997) acutely commented on this intellectual ferment and remarked that:

-----, archivists in developing countries are now seriously questioning whether classical archival concepts that emerged from written culture of European bureaucracies are appropriate for preserving the memories of oral cultures. All acts of societal remembering, in short, are culturally bound and have momentous implications.

To reinforce this viewpoint, in the developing world, Africa for instance, there is now a growing consensus to refigure the archive and ensure that the complete national heritage is recorded and preserved (Ngulube 2001a:251; Kenosi 1999/2000:24; Mazikana 1997:40; Mumba 2002:319; Mutiti 2002:201 & 205). Addressing archivists at the 2001 ESARBICA Conference, the Zimbabwean Minister of Home Affairs reflected as follows:

You need to realize that the official public record – so sacrosanct to your profession – was for the most of the 21st century, a record of Europeans' adventures in Africa. We need a different strategy to record the history of Africans in Africa (Nkomo 2001:61).

Furthermore, Cook (1997) elaborated that archival thinking over the century should be viewed as constantly evolving, ever mutating as it adapts to radical changes in the nature of records, record creating organizations, record-keeping systems, record uses and the wider cultural, legal, technological, social and philosophical trends in society. It is equally significant to note that despite this transformation, the archival theories, procedures and techniques that have evolved over the past two centuries are encompassing as they apply to private, business, religious or governmental archives in various geographical and social contexts (Maher 1992:35)

In its reconstruction of the history of archival theory, this thesis takes as its departure point the Dutch triumvirate of Muller, Freith and Fruin's, pioneers in archival historiography, who advocated in 1898 the provenance principle in archival arrangement in their famous *Manual for the Arrangement and Description of Archives*. The Dutch authors' chief contribution was to articulate the principles concerning both the nature and the treatment of archives. According to Cook (1997), the importance of the Dutch *Manual* rests on its codification of European archival theory and its enunciation of a methodology for treating archives.

As late as 1956, the North American archival theorist Theodore R. Schellenberg called the Dutch *Manual* "a Bible for modern archivists" and both he and English theorist Sir Hilary Jenkinson based their landmark books on this very solid Dutch foundation. Whether directly or through Jenkinson and Schellenberg, the work of Muller, Freith and Fruin has widely influenced our collective theory and practice (Cook 1997). The pioneering work of the Dutch triumvirate consolidated what had begun earlier on considering that archives in various forms had existed for centuries.

Sir Hilary Jenkinson (1882-1961) was the most influential British archivist of his generation and is remembered as the author of the celebrated book, *A manual of archives administration* (1937) which was the authoritative guide to archival practice in Great Britain (Daniels and Walch 1984:2). Jenkinson (1937: 83) went further in the development of the provenance principle by arguing that the primary duty of archivists was the physical and moral defence of the archives. Jenkinson's ideas are enjoying a revival today (Duranti 1994:328-344) and considering that the records for this study were long created, born archival to be precise as earlier mentioned, his views can be seen as prophetic and his spirited defence of the evidential character of records certainly remains inspirational. It is therefore not farfetched to view this research as emanating from a neo-Jenkinsonian perspective. In a nutshell, Jenkinson's treatise merely reinforced earlier ideas on archival theory and practice.

Theodore Schellenberg (1903-1970) from the United States was the next to articulate his ideas on the archival discourse. A critical analysis of North American archival theory shows that it was modelled on European archival traditions. Pinkett (1981:217, 222), rightfully observed that American archival theory was adopted from European principles to deal with unique characteristics of American record-making and records keeping practices. It is essentially an aggregation of ideas drawn from well-tested and widely accepted European archival principles and of pragmatic concepts developed to

meet special needs of American archival administration and democratic institutions.

Confronted by a proliferation of war related records in the United States during World War II, archivists at the National Archives in Washington had to find a way around the problem of selection. Appraisal is the prescription of values to records and Schellenberg became "the father of appraisal theory in the United States." At the centre of Schellenberg's ideas was the issue of informational values and with this in mind he developed and wrote about the concepts that offered a framework for the consideration of the research uses of records (Daniels and Walch 1984:55). As noted by Cook (1994), most American archivists even after Schellenberg emphasized that discerning real or anticipated use by scholars, and particularly by academic historians should be the central methodology for determining which records have archival value.

On the other hand, the belief that archives should reflect more globally the society that creates them brought a new dimension to archival theory. Mazikana (1990b:1) forewarned archivists within the ESARBICA region to desist from importing, albeit undiluted, foreign theories of archival practice. This warning represented a fundamental change in the archival discourse for it brought the issue of interrogation to bear on old conceptions of archival theory and methodology. The interrogation called for the refiguring of the archives from a statist point of view to a societal one that needed to reflect the broader society that the state serves (Cook 1997).

Dearstyne (1987:77) has pointedly noted that the past few years have been a period of growth and change in the archival world, of questioning traditional approaches and of searching for new directions. This questioning phase is discernible from the 1990s to the present as archivists grapple with the complexities of what constitutes a record in the realm of the technological revolution vis-à-vis its creation, use and preservation. In adopting this interrogative approach, the positive aspect is that authorities have tabled

solutions, though these remain contestable. Mutiti (2002:201) has aptly commented that in later years, archivists, scholars and other users began to question the impact of the physical environment and societal processes and discourses on the archives. This interrogation gave rise to the need to transform or refigure the archives so that they are wholly representative of what obtains in a nation. Commenting on the unheard stories of our liberation struggle, Harris (2009) asked why some voices continue to remain absent from our historical record and he attributed this situation to the lack of serious engagement with indigenous ways of archiving and as he stated:

We still talk about documents and film and recorded interviews, but we're not actually opening the doors to African ways of recording, sharing and living story.

Not surprisingly, this societal phase of archival theory is spiced with innovation and the terminology in use reflects the richness of archival scholarship. The German, Hans Booms's (1971) ideas of placing society as opposed to records at the centre of any theory on appraisal led for instance to the development of the *macroappraisal* concept later credited to the Canadians for its origins. The concept has since been adopted in Australia, the Netherlands (PIVOT project), parts of the USA (Cook 1999) and National Archives of South Africa (Harris 1996: 8).

The *documentation strategy* is credited to Helena Samuels (1986) and is an integrative approach to management of records. Patrick Ngulube (2001a) offers a refashioned version of this theoretical concept with his *hybridization* model. Hugh Taylor (1987-88) is a key architect of the *total archives* concept in which his holistic approach calls upon the need to explore the rich interconnections between society and the documentary record, between the act and the document (Cook 1997; Cook 1986:188-189).

Sue McKemmish (1993), Frank Upward (2001) and Jay Atherton (1985-86) raise the issue of accountability in their *records continuum* concept as a

continuum of care has to be provided for records in their management irrespective of age. The challenges posed by *electronic or digital records* have made Bearman (1999) call upon archivists to take a more proactive approach in their management. Cook (1994), as noted above, has called for a conceptual shift in archival practice by redefining archival theory. Bearman and Lytle (1984:17-24) concurred and pointed out that the conceptual "power of the principle of provenance" not only holds the key to archival success in dealing with computerized records, but also uniquely positions archivists to help records creators cope with their vanishing corporate memory.

The foregoing view was substantiated by Mutiti (2002:202) who posited that the dynamic societies in which archivists operate these days also call for a rethinking of archival theory and practice in order to remain relevant to the institutions they serve while still meeting the changing expectations of users. This approach has been necessitated by various factors such as the advent of information technology and the right of access to information. In the context of electronic records for example, provenance has to be redefined by providing the technical context in which the records were generated. Equally significant is the issue of access.

In terms of access, there is need for archivists to ensure that there is long-term access and maintenance of digitized information for the benefit of the user. According to Habibah Zon Yahaya (2002:63), advances in computer technology offer the opportunity not only to store large volumes of information effectively, but to democratise access to information.

From this condensed presentation of archival theory, it is discernible that the characteristics of the theory are multiple and can be reviewed and assessed, inter alia, from the vantage of identification and acquisition, functions of appraisal, arrangement and description, provision of access and reference services, preservation and conservation, advocacy and so on. In summary, the previous section dealt with archival theory and the following section deals with archival processes and aspects arising out of this.

3.2.3.2 Identification and acquisition

Cook (1986:67) noted that the aim of any archives service, within its own agreed field of operation, would be to build up holdings which contain a balanced documentation of the chosen subject area. For this goal to be realized, archivists should be able to identify all possible sources of relevant accumulations, track down their whereabouts and get access to them for the purpose of inspection and transfer. According to O'Toole (1990:63), identification is the first activity designed specifically to save and acquire records. This activity establishes an initial level of intellectual and physical control over the records and it does so by applying several fundamental questions to archival materials.

Some of the questions regarding the records that spring to mind include: who produced them? What are they? When were they produced and what period do they cover? How many of them are there? Where are they? Why are they in a particular form and order? What have they been through before coming into the control of archives?. To answer these questions, the archivist must actually examine the records, putting the pieces of the puzzle together. The identification of all the records that may be transferred to the archives comes before any selection of those that actually will be (O'Toole (1990:63-64).

The identification process does not mean that all records will be selected for permanent preservation as the archivist will have to undertake selective judgements about which to acquire. This judgement, called appraisal, simultaneously facilitates the acquisition process. Mazikana (1990a) noted that a basic duty of the archivist is the acquisition of archives. This is a process by which archival institutions add to their archival holdings by accepting material as a donation, transfer, purchase or loan (Schwirtlich and Reed 1993:137). It is the formal receipt of an accession by a repository (Mazikana and Ngulube 2001:1) and the acquisition process involves (Harris 2002:36):

- i. formulating an acquisition policy;
- ii. defining the parameters - in terms of both societal processes and records creators – within which acquisition will take place;
- iii. monitoring existing holdings to test their scope, strengths and weaknesses against the policy;
- iv. appraising relevant societal processes and the records which they generate in order to select those records with enduring or archival value;
- v. formulating a strategy to acquire such records;
- vi. formally acquiring such records.

Schwirtlich and Reed (1993:137) identified two primary means of acquisition, namely collection from diverse sources either through purchase, donation or loan and transfer. The other means of acquisition as identified by Harris (2000:36-37) is by way of creation, the archival institution producing or securing the production of records to fill the gaps in its holdings. This activity includes, for instance, oral history programmes and the photographing of people and events. Oral history and the collection of the private papers of important individuals facilitate a more expansive interpretation of an official mandate (Burckel 1976; cited in Kesner 1984:116). In other words, oral history and historical manuscripts complement written sources. Acquisition plays a pivotal role in shaping archival holdings and its importance should not be underplayed considering that it involves a commitment of the resources of the archives.

3.2.3.3 Appraisal

Weber (1999) concisely observed that of all professional tasks, appraisal constitutes the archivist's primary challenge as all other archival activities profit from it and on a scientific basis, it is the constitutive element of shaping what will be handed to future generations (See also Wernich 1988: 43). Walne (1988: 17) defined appraisal as the process where archivists evaluate records to determine whether they will be destroyed or preserved. In an

archival institution or archives programme, appraisal is most often associated with acquisition of materials to be kept by the archives for continuing reference over time as historical sources.

It is important to note that archival theory has evolved standards for making appraisal judgements especially as it relates to issues of values in records preservation. The methodology to be employed in the selection of archives for permanent preservation as noted by Ngulube (2001a: 250) should not be obscure, haphazard and incoherent lest it signifies the birth of biased and distorted archives. Archival appraisal standards refer to three aspects:

- i. the process of carrying out the appraisal;
- ii. the report explaining the recommendations;
- iii. the criteria used in arriving at the recommendations (Archives New Zealand 1998).

Archival institutions have to work according to established standards in order to ensure that the appraisal criteria serves to provide either authority to destroy records, or a statement that records are considered of sufficient value to warrant their preservation.

3.2.3.4 Accessioning

Accessioning comprises all the steps that repositories take to gain initial physical, administrative, legal and intellectual control over newly acquired material (Miller 1990:31). Briefly put, it is the activity of logging each new acquisition (ACARM 2007). In other words, accessioning follows acquisition. At its minimum level, it should provide information about the creator, contents, format, extent and repository location in such a way that documents cannot become intermingled with other material held by the archives and receipt documents can be provided to the source of the records documents (Brunton and Robinson 1993a:207).

The aim of accession is to facilitate the basic control of the material and according to Brunton and Robinson (1993a:209), the single most important

step in accessioning material is the determining in terms of its provenance or the origin of the records, that is the organization, office or person that created, received, accumulated or used the records in the conduct of business or life.

To document this acknowledgement of a record's entry into an archival collection, an accession register which comes in different formats is employed. The register can either be a bound volume or computerized but in either case five related activities are involved (Miller 1990:31):

- i. preparatory on site work – accessioning should begin as soon as the acquisition and appraisal procedures are completed;
- ii. physical and administrative transfer – it is the archivist's responsibility to guarantee the physical integrity of the materials and to enter information about them into the repository' listing of accessions;
- iii. physical records analysis – an archivist should examine the physical condition and intellectual contents of the accession;
- iv. content analysis – this relates to authorship or provenance – in other words the identities of the records series have to be ascertained;
- v. preliminary listing – archival records should have a brief indication of contents and hence the need to prepare such description.

In a nutshell, accessioning involves capturing the essential details of the deposit which includes the provenance of the archives, some description and indication of content, a quantification of the volume, an indication of the period covered, details of access conditions and of the storage location (Mazikana 1990a). Accessioning defines the extent of a collection on the basis of its provenance but it only gives initial but limited control to an archives. However, for records to be meaningful in terms of research usefulness, they need to be identified and placed in context.

3.2.3.5 Arrangement and description

Hamill (1997:1) has stated that arrangement and description are the processes by which archivists organize, catalog and make the collections in their custody available to researchers. Just like the appraisal process, these tasks are critical as the idea is to unlock the contents of an archival institution hence Mazikana (1990a) referred to the two activities as representing the pillars of archival work. In the words of Brunton and Robinson (1993b:222), it is like doing a jigsaw puzzle because the archivist is trying to fit all the different pieces together. Arrangement and description are intertwined and are normally undertaken together. According to Roe (2005:11) and Harris (2000:53), arrangement provides the framework for description while information obtained to describe records provides insight on the arrangement pattern.

The arrangement of archives in general follows the principles of provenance and the sanctity of the original order and a look at these concepts will suffice. The principle of provenance or in its better known terminology *respect des fonds* (French version of provenance) means respect of authorship (office of origin) and it is the fundamental principle of modern archival practice. Provenance has been defined as the relationship between records and the organizations or individuals that created, accumulated, and/or maintained and used them in the conduct of personal or corporate activity (Society of American Archivists 2004; cited in Roe 2005:15).

In essence, it simply means archives of a given records creator must not be intermingled with those of other records creators (Mazikana 1990). Waldo Leland, an early archival theorist, remarked that only by arranging them (records) so that they reflect the processes by which they came into existence can they be made intelligible (Cited in Hamill 1997:8). Provenance is crucial because it reveals important information about the *context* in which records were created.

Threefold advantages can be derived from the principle of provenance:

- i. the records arranged in accordance with their provenance do not run the risk of misplacement;
- ii. identification of records in the creating agency does not change in the archives;
- iii. the records arranged in accordance with their provenance correctly reflect the history of their creating agencies.

On the other hand, the principle of original order provides that records are to be maintained in the order and with the designations which they received in the course of the official activity of the agency concerned (Posner 1984:10-11; See also Roe 2005:15; Harris 2000:74).

Original order is meant to function within a system organized generally according to provenance. The principle of original order preserves the physical arrangement of individual documents within file units such as folders, of those units within filing systems and of groups of files in relation to each other (Miller 1990:270). Jenkinson (1937:97) stated that the basic justification for original order was the exposition of the administrative objects which the archive originally served. Of great significance as noted by Harris (2000:74), is that there is no blueprint for the *how* of archives management. Each archivist must devise an approach with which s/he is comfortable and must be prepared to adapt it to meet the challenges posed by specific archives groups.

Be that as it may, there are within archival arrangement, certain levels of arrangement, from most general to most specific levels. The generally recognized five levels of arrangement are as follows (Mazikana and Ngulube 2001:1):

- i. repository level (for example special collection);
- ii. records group and subgroup (related records);
- iii. series (group of files maintained together as a unit);

- iv. file unit (file folders, bound volumes etc classified using a scheme as numerical);
- v. item description (letter or document usually arranged in a folder or file).

The administrative and intellectual control over archival holdings is achieved through description. Description is the process of recording standardized information about the arrangement, contents and formats of the records so that persons reading the descriptions will be able to determine whether or not the records are relevant to their research (Brunton and Robinson 1993b:222-223). The term description also refers to products of the process, for example, the finding aids such as inventories, guides, indexes, calendars and item catalogues (Mazikana and Ngulube 2001:2).

Jenkinson (1937:115) stated that after archives have been arranged and put away on shelves, the aim of an archivist should be to give a complete exposition on paper of the arrangement that has been given to the records. The objective of such a descriptive programme is twofold: to make records known to potential users and to facilitate the archivist in searching for them in the repository. There are a variety of descriptive instruments which an archivist can use to make documentary sources known to the public and these are now dealt with.

3.2.3.6 Finding aids

Pearce-Moses (2005) defined a finding aid as a tool that facilitates discovery of information within a collection of record or it might refer to description of records that gives the repository physical and intellectual control over the materials and that assists users to gain access to and understand the materials. The arrangement and description processes discussed earlier on (See Section 3.2.3.5) produce descriptions of the records, arranged according to provenance and it consequently follows that finding aids present this information in a variety of ways.

Archivists make use of a variety of finding aids; comprehensive or limited in their coverage, general or detailed in their descriptive data and pertaining to record units of various sizes (Schellenberg 1965:107). Schellenberg (1965:108) further noted that it is the duty of an archivist to open up the research treasures that are entrusted to his/her care, not to hoard them and keep them from others. This is where finding aids come into play.

A basic rule to be observed in the designing of finding aids or descriptive tools is to ensure that they are user friendly as inadequacy can undermine all the effort expended on arrangement and description. Users may be deterred by a disjointed collection of lists and descriptions and they may tire of waiting for assistance because they need intensive help from the reference archivist (Edgecombe 1993:250). Finding aids may consist of guides, inventories (structural lists), calendars, catalogues, lists, indexes and the like and these are now discussed below.

3.2.3.6.1 Inventories

Inventories are the basic and indispensable descriptive tool for archives (Harris 2000:56). An inventory is a finding aid listing and describing in varying degrees of detail the contents of one or more record/archive groups, fonds, classes or series, usually including a brief history of the organization and functions of the originating agency or institutions (National Archives of Malaysia Handbook 1997:77).

Inventories are thus representations of provenance. Jenkinson (1937:115) intoned that they are a summary but complete exposition on paper of the arrangement we have given our archives. An inventory/structural list or register serves twofold purposes' namely to provide a preliminary analysis of an archival group and provide an initial or provisional finding aid. Harris (2000:56-57) and Miller (1990:93-98) identified three features that make up an inventory:

- i. an introductory note, the purpose of which is to provide the user with enough contextual information to understand the evolution

- of the archives forming the group in question. The introduction should summarize the findings of the research and the contents;
- ii. the guide or catalogue for an individual collection. This usually takes the form of detailed description at the item level, but the degree of detail, together with the precise form and extent of contextual information, varies from collection to collection;
 - iii. the computerized item-level database. This provides the most detailed description and the most powerful retrieval tool.

3.2.3.6.2 Guides

Pearce-Moses (2005) defined a guide as a broad description of the holdings at one or more archives, typically at the collection level. Guides roughly consists of a combination of all the introductions and notes from all inventories, condensed as far as possible, plus a modicum of information from the body of the inventories as to dates and qualities (National Archives of Malaysia 1997:37). Schellenberg (1965:253) noted that from the public's point of view, the guide is the first publication that should arrest the attention of the archivist. A researcher is expected to obtain immediately a general but comprehensive knowledge of the holdings in a repository and from here proceed to descriptions like lists which provide specific information about particular record groups that might be of interest (National Archives of Malaysia 1997:37).

In a guide an index is the primary means of making known the contents of archival groups. The following entries are necessary (National Archives of Malaysia 1997:38):

- i. all persons, places, things and phenomenon that are identified in guide entries;
- ii. all subjects that are identified in guide entries, not subjects to which the records themselves relate;
- iii. all activities and transactions that resulted in the production of the series.

3.2.3.6.3 Catalogues

A collection of systematically arranged descriptions of materials constitute a catalogue (Pearce-Moses 2005). Catalogues are prepared of manuscript items that lack organic characteristics and are discrete items of great importance which have strayed away from their parent series and groups (National Archives of Malaysia 1997:39). Catalogues are divided into two parts. The first part consists of an introduction detailing how these stray papers came into the archives and the second part consists of a descriptive list.

3.2.3.6.4 Lists

A written series of discrete items constitutes a list (Pearce-Moses 2005) and a fully developed list has four elements (National Archives of Malaysia 1997:34-35):

- i. an explanatory introduction which informs the user where the archives come from and give some basic facts about their origin, content, size and physical character;
- ii. the list proper usually prepared on a ruled listing paper consisting of the serial number or code number, date, description and reference number or file number;
- iii. a layout which makes the list explanatory, breaking up the text under headings of series and sub-series, based upon the original structure of the archives;
- iv. an index, which is appended at the end to include names of person , place and subjects mentioned in the documents that are listed. Examples of lists include numerical lists, abstracts lists, initial lists, bulk lists, transfer lists analytical lists and subject lists. Descriptive lists represent by far the most effective means of locating files and can either be cyclostyled, printed or photocopied to save money, time and energy.

3.2.3.6.5 Calendars

Calendering is a further extension of listing or descriptive listing and it is a process of shortening a document by means of omissions and abbreviations

of non-essential parts in a document, while retaining the exact phraseology of the writer (Pearce - Moses 2005). The emphasis on calendaring is on the needs of historical research. Printed calendars have a peculiar appeal to historians as they provide information in writers own words upon which alone a scholarly interpretation must rest. They provide information about documents in a chronological sequence and hence relieve historians of note making and often relieve them of the necessity of consulting the original documents (Schellenberg 1965:298).

The process is however time consuming and expensive and has since been abandoned by most archival offices. It is only justified with regard to highly significant and valuable documents which archival institutions feel historians should not handle. Nowadays the process of microfilming has replaced the calendars as microfilms make it possible for the most brittle and fragile records and others because of their physical character, language and so on to be brought within easy reach of scholars (National Archives of Malaysia 1997:35).

3.2.3.6.6 Indexes

An index is an ordered list of terms, keyword or concepts contained in a set of archives or in a file, document or finding aid, usually in an alphabetical order, with pointers to the locations of those terms, keyword or concepts (National Archives of Malaysia 1997:76). Determining the name under which a document is to be filed is called indexing. In archival parlance, it is frequently stated that one of the ways of judging the quality or at any rate, the maturity of an archives office is to see the extent of its indexing programme (National Archives of Malaysia 1997:39).

Indexes are very useful tools in the hands of an archivist as they are the best means of providing information on specific matters in all kinds of record units. They are the medium by which information on persons, places and specific topics can be most easily made known. It is important to note that indexes are designed mainly for use within a record repository as to point the way to subject content and to indicate where information on subjects may be found

(National Archives of Malaysia 1997:40-41). In other words indexes are not designed to describe records as in lists and catalogues, but only to identify them in relation to subjects. They are thus a locating media. On the whole, archives are acquired, accessioned, arranged and described so that they become locatable and thus accessible.

3.2.3.7 Access

Pearce-Moses (2005) defined access in two ways: firstly as the permission to locate and retrieve information for use (consultation or reference) within legally established restrictions of privacy, confidentiality, and security clearance or the ability to locate relevant information through the use of catalogs, indexes, finding aids, or other tools. McCausland (1993:272) informed that administering access to archives involves establishing procedures which will ensure that legislative requirements and donor agreements are upheld and that the records are protected from theft, damage or rearrangement.

Public access to documents is a fundamental human right and freedom as well as a condition for the free exchange of ideas in a democratic country. Therefore the current catchphrase is that of liberalization of access (Kibal and Valge 2007:193). It therefore follows that the ability to make collections available to users should be one of the cornerstones of a successful archival management policy. Use is the goal of all archival endeavour (Harris 2000:24; See also Dearstyne 1987:77) and the Canadian Timothy Ericson (1990-91:116) has remarked that:

----- if, after we brilliantly and meticulously appraise,
arrange, describe and conserve our records, nobody
comes to use them, then we have wasted our time.

To highlight the importance of access, the Professional Code for South African Archivists (1993:106) begins a definition of the archival mission as follows:

The archivist is responsible for ensuring the availability and use of permanently valuable archives by identification, acquisition, description and preservation. Accountability to the archives creator, employer and user should shape the performance of these tasks.

Archivists are confronted with a number of impediments when it comes to making their holdings available for use. Mazikana (1999:6) observed that the biggest obstacle to accessing information contained in records and archives is not the existence of stringent access conditions and regulations but the poor state in which many records and archives are kept. Blais (1995) identified four obstacles namely the democratization of information, privacy concerns, non-traditional forms of records and the impact of technology. Kemoni, Wamukoya and Kiplang'at (2003:39) categorized the obstacles into two major areas, namely professional and technical. Professional problems include:

- i. researchers not being conversant with how to use archival information;
- ii. inadequate finding aids;
- iii. lack of recognition by some governments of the important role that archives play in national development;
- iv. outdated archival legislation which provides limited access rights to archival materials;
- v. inadequate numbers of archivists who have received professional archival training;
- vi. lack of adequate archival training schools;
- vii. poor systems of archival arrangement and description;
- viii. inadequate manpower to provide archive services;
- ix. poor state in which archival materials are kept;
- x. lack of appropriate tools to facilitate storage and access.

Equally significant professional problems stemming from a staffing point of view include wrong appraisal decisions as pointed out by Ngulube

(2001a:250-51) and backlogs in the accumulations of archives as noted by Wamukoya (1999) and Mnjama (2006). Amongst the technical problems they identified included under-utilization of information technology, difficulties in identifying appropriate hardware and software and untrained staff in the field of information communication technologies (Kemoni, Wamukoya and Kiplang'at 2003: 39).

While these may appear to be only teething problems, there have been clarion calls within the archival circles for archival institutions to engage in self-evaluation as to the issues of who uses their materials and what difference to archival best practice that use makes. Dearstyne (1987:77) has argued that archivists need to analyze the use of holdings in order to more clearly define their professional mission, to help persuade resource allocators that archival work is significant and to gain the general public's attention and support for the importance of the archival function in society. This reassessment drive is evident in the writings on archivists' relations with researchers and the general public. Jo Pugh (1982), Joyce (1984) and Freeman (1984a) for instance, have suggested that archivists do not really know their clientele and that they have an inaccurate notion of the information researchers need and how they seek to fulfill these needs.

Dearstyne (1987:78) further asserted that archivists must address fundamental questions, previously largely ignored, about the relationship between archivists and researchers and about the nature and significance of research use of archival materials. Dearstyne (1987:78) suggested six areas where analysis and new approaches are needed:

- i. tracking and studying research use;
- ii. interpreting and reporting on the significance of that use;
- iii. promoting increased use;
- iv. emphasizing use as a means of garnering program support;
- v. reaching out to the researcher community as a partner in dealing with difficult archival problems;

- vi. expanding the concept of reference service to a broader notion of researcher service or public service.

The foregoing framework calls upon archivists to take a more proactive and robust approach in their work and according to Harris (2000:26), efficacy in the making available of archives is dependent on archivists knowing who their users are and being responsive to their needs, through inter alia, user surveys and exit interviews. This important aspect constitutes public programming which is the main focus in the next section.

3.2.3.8 Outreach

An assortment of terms has been used to refer to those activities in which the archival institution seeks user response to its services or in its bid to raise the profile of the organization either internally or externally. Educational programmes, external programmes, advocacy, developmental services, public programming and public service are other synonyms used as substitutes for the broad term "outreach". Outreach has been defined as those activities whereby archival institutions ensure responsiveness to users, secure user participation and promote the use of archives (Harris 2000:26).

Outreach is an extension of reference work and, as Roe (1988:218) highlighted, while the purpose of archives is to preserve and make available historical resources, that goal lacks substance if the resources remain unused. This view has been shared by Harris (2000:26; See also Pederson 1993:306; Freeman 1984b:282; Blais and Ennes 1990-91:107) who stated that public programming is arguably the clearest manifestation of archivists having embraced the notion that use is indeed the ultimate goal of all their endeavours.

Considering that it is a perennial professional gripe that archivists have an image problem (Bailey 2007:123), it is imperative to develop outreach activities, inter alia, for the following reasons:

- i. expansion of basic archival functions through acquisition and preservation of records;
- ii. to increase and encourage the use of archival materials;
- iii. to raise awareness of archives and their holdings, as well as identifying the role and uses of records in society;
- iv. to encourage communication between archivists and the officials who allocate the resources (Roe 1988:219-220; Maher 1992:316; Williams 2006:147).

Possible outreach activity options are multiple and according to Pederson (1993:314), successful ones are characterised by a clear purpose, well-defined scope and content. Ericson (1990-91:114) reinforced this view by pointing out that archives have a fundamental duty to undertake outreach projects on an ongoing basis, and the process should be clearly stated in archival mission statements, thereby, making the process one that has short and long term goals attached to it. According to Freeman (1984:283), in developing any of these educational services we must first decide for whom we are producing them, at what level of sophistication they need to be produced and in what formats they can be supplied to the maximum number of people.

Freeman (1984b:283) further asserted that outreach can range at least from simple exhibits, media coverage, tours and curatorial talks to more sophisticated activity, including multilevel conferences, travelling exhibits, group instruction, teacher workshops, courses based on the archives using records as text and archivists as facilitators, or cycles of activities focused on a theme or period. From this expansive list, only major activities will be discussed and these include internet access, exhibitions, publications, classes, seminars and workshops.

3.2.3.8.1 Web pages

It is widely acknowledged that the future lies with information communications technologies and these have to be exploited as much as possible. One way an archive can begin to garner the respect it needs is to develop a web site explaining how their institution works, and what kinds of information sources may be found within the walls of such a place. Freenets are often a good place to start, since they are community-based, and attract a multitude of people from all walks of life. Statistically, it is difficult to say how much awareness one may create from developing an Internet site, but it still must be considered a requirement in this age of the Information Superhighway. In addition, many academics are heavily involved with web-based resources and the proliferation of electronic media, and therefore, this would be a good starting point for many archives (Mason 2006).

Noble as this strategy appears, it should however be viewed against a background of the digital divide in terms of connectivity, affordability, access and dependable power supplies particularly in developing as opposed to developed countries. Williams (2006:153) asserted that there exists the possibility of disenfranchising potential readers who do not have internet access and one might have problems of version control if material is produced in hard copy and for web distribution. Furthermore, there is need to balance user demands with access requirements due to digitization, meaning that related financial and preservation issues need to be considered, both from the positive and negative perspectives. On the plus side, through web pages, one can reach a far wider audience much more speedily, it is easy to update text and there are no printing and distribution costs (Williams 2006:153; Feather 2006:14). In addition as noted by Forde (2006:178) websites have made it simpler to advertise opening times, locations and up-to-date information for intending visitors.

3.2.3.8.2 Exhibitions

Williams (2006:156) pointed out that the public is increasingly sophisticated and expects a product that reflects investment and the expertise of

professional designers. The same applies to exhibitions that the public may attend. Exhibitions for archives may be described as the use of archival material to present ideas which inform or educate the viewer. Original documents give a unique sense of verisimilitude but must be exhibited in accordance with their preservation needs. Rabin (1984:289) noted that through exhibits an archive can dramatize the strong points of its particular collection and thus create a clear identity to which the general public as well as researchers can relate. Both children and adults are interested in and intrigued by historical artefacts, documents and books and catching their imagination through exhibitions is thus not difficult (Forde 2006:177). An exhibition generally includes materials such as artworks, documents, or objects that have been selected and ordered so that their interaction demonstrates an idea or theme for cultural or educational purposes (Pearce-Moses 2005). According to Pederson (1993:315; See also Rabin 1984:291), exhibitions inspire interest and involvement which can result in donations of records, funds, services or personal time to the archives.

Through exhibits, the archives can announce recent acquisitions and give recognition to donors and provide an outlet for the research talents and creative impulses of the staff. The major drawbacks to be noted are that exhibitions are time consuming and cost involved might dissuade an archival institution from beginning an exhibition program. Equally important is the need to consider the sheer amount of physical handling which manuscripts receive during the preparation of an exhibition and Rabins (1984:292) noted that the more rare and valuable the document, the more reluctant the archivist will be to use it for display for any prolonged time.

3.2.3.8.3 Publications

Publications remain an important method of informing potential users of the research possibilities of archival holdings. This mechanism includes introductory brochures, news releases, photo histories, chronologies of the institution, guides, newsletters, annual reports, souvenir publishing (which includes calendars, postal and greeting cards, posters, diaries and so on while

souvenir objects like t-shirts, scarves, tea towels and insignia jewellery play a complementary role but costs are astronomical), bookmarks and similar items. Items such as press releases and brochures give the archivist the opportunity to communicate directly with the public (Maher 1992:319).

Due to the fact that the appearance and content of such publications will convey an image of the institution, it is therefore important that they are attractive in appearance, accurate in content and thoroughly checked (IRMT 1999). The plus factor of this strategy is that they can reach large audiences especially those offsite but then costs are prohibitive in terms of printing or publishing and that publications are a preserve of the literate. However, as noted by Pederson (1993:325), the positive characteristic common to all is that they convey information to users of archival records and services in a consistent form that can be kept and referred to as needed.

3.2.3.8.4 Classes, seminars and workshops

User education is synonymous with classes, seminars and workshops for many archivists. Pederson (1993:331) stated that these activities are the most rewarding of all user education programs for they are usually enjoyed by both staff and participants and measurably increase awareness of the archives within the larger community. Staff members involved in teaching gain confidence and renewed enthusiasm for their work when they see that it is interesting to others.

Teaching packets generally consist of facsimile documents along with other supporting materials such as teachers' guides, questions and activities for the students. A major advantage of curriculum packets is that they permit the archives to reach large bodies of novice users systematically without placing a strain on the archives' documents or reference staff (Maher 1992:321). Seminars and workshops provide a more thorough coverage of archival subjects and the themes are as varied as the range of materials within the archives (Pederson 1993:333).

3.3 DIGITAL TECHNOLOGY

Pearce – Moses (2005) defined digitization as the process of transforming analog material into binary electronic (digital) form, especially for storage and use in a computer. As Wato (2002:126) and Ngulube (2002:71) have put it, digitization is the conversion of paper records into machine-readable format through scanning of the original document and storing the images in magnetic or optical media. Digitalization is sometimes used as a synonym for digitization. However, digitalization as a term properly refers to the administration of the medicine digitalis. Digital technology therefore is the appropriate term to use to refer to the design and construction of communications that transmits information in digital form. In other words, digitization involves creating an electronic record. The digitization process normally involves the use of either a digital camera or scanner, resulting in the creation of a 'digital object' (Muir and Astle 2002:67).

The new information and communications technologies have tremendously affected archival institutions. Persoli Junior (2006:140) correctly noted that digital literacy is becoming a requisite for all professionals dealing with the preservation of archival collections. Peters (2003:79; Katundu 2001:179; Maele 2003:69; Nengomasha 2009:112; Mazikana 2009:43) opined that the fundamental transformation confronting cultural heritage institutions worldwide is due in part to the increasing use of sophisticated technologies that are evolving rapidly and becoming obsolete at an even frightening pace. A Report of the Task Force on archiving of digital information (1996) noted that digital technology poses new threats and problems as well as new opportunities. Katuu (2009:133) poignantly observed that while archivists in the developed world face up to the challenges of digital media, Africa is still struggling to prop up dilapidated records keeping systems for paper records.

Be that as it may, the convergence of digital technologies has reshaped the information landscape as digital technology has provided unprecedented access to information (Habibah Zon Yahaya 2002:63; Deegan and Tanner 2002:180; Lor 2008:119 & 126; Sapire 2009:286). At the same time however,

this information lacks permanence in the digital world hence Cloonan and Sanett (2002:70) asserted that information has never before been as fugitive as it is today. This view was shared by Katuu (2009:139) and Ramatlhakwana (2009:198-199) who argued that there is urgency, not only to manage paper records, but also to address the increasing danger of losing electronic memory particularly on the African continent. As earlier noted, provenance is one of the fundamental organizing concepts of archival science and to preserve the integrity of an information object, digital archives must preserve a record of its origin and chain of custody (Wato 2002:128).

Nevertheless, a number of advantages have been brought by digitization and these are as follows (Adcock, Varlamoff and Kremp 1998:64; Dherent 1999; Deegan and Tanner 2002:32):

- i. digitizing offers quick access to multiple users world-wide;
- ii. images can be electronically restored and enhanced;
- iii. high quality user copies can be provided;
- iv. automated retrieval aids can be provided;
- v. high storage densities compared with paper and film.

The drawbacks that are discernible in the use of digital technologies are as follows (Adcock, Varlamoff and Kremp 1998:64):

- i. it requires an expensive commitment to supporting technologies used to convert and retrieve records. In other words, it is an investment with potentially very high up-front costs (State Archives Department 2004);
- ii. a digital image, displayed or printed, may not yet be acceptable as a legal substitute for the original;
- iii. standards are lacking in many areas;
- iv. digital storage is not yet accepted as truly archival – it requires continuous monitoring and eventual or periodic refreshing and transfer;
- v. the drive systems will become obsolete;

- vi. there are relatively high but rapidly declining storage and production costs;
- vii. the time needed to capture and store high resolution archival images and the costs of doing so increase as the quality increases;
- viii. it is expensive to reproduce colour images.

Digitization as a means of conservation in archives is usually compared with microfilming and Ngulube (2002:69-81) demonstrated the strengths and weaknesses of each of these reformatting strategies. Currall and Moss (2004:124-127) asserted that the need for conservation, improved access and the need to satisfy donor requirements constitute the three principal drivers for digitization in the heritage sector. Meanwhile Limb (2002:54) argued that the vulnerability of African archives to vagaries of climate, economics and politics might be overcome by digitization. These archives could thus secure their collections at least to some degree in secure electronic format should papers become very vulnerable to moisture, heat and so on or to a lack of funding to look after them, or to political interference and even attempts to destroy certain documents.

3.4 ARCHIVAL ETHICS

Archivists frequently face choices and dilemmas that have ethical issues associated with them. These issues can arise in selection, acquisition, arrangement, description, preservation and communication of records and archives. Wherever ethical issues may arise, the primary duty of archivists is to maintain the integrity of the archives, according to both the Code of Conduct of the Society of Archivists (1994) and the Code of Ethics of the International Council on Archives (1996). Ethics, in the classical sense (Mazikana and Ngulube 2001:1), refers to the rules and standards governing the conduct of an individual with others. Ethics are about honesty, accountability, pursuit of excellence, loyalty, integrity and responsible citizenship (Guy 1990; cited in Ngulube 2000b:162).

In other words, ethics therefore deal with what is good or bad, right or wrong as well as duty or obligation. Ethics addresses the question: What is the right thing to do? Ethical dilemmas occur when values are in conflict.

Professional ethics are the rules of conduct that translate the profession's characteristic ideals, or ethos into everyday practices. Thus, a professional code of ethics is a set of rules which a given body of professionals agree and swear to adhere to in the conduct of their duties. It sets standards of behaviour for the members of a profession to follow and establishes bounds within which they should operate to achieve their goals (Benedict 1988:176). Such a code therefore binds the members of a given profession and a breach of the code by a member leads to impeachment (Kemoni 1994:3-4). A code of ethics has the following provisions:

- i. it protects the image of the profession;
- ii. it protects the individual members;
- iii. it instils discipline in the profession;
- iv. it ensures professionalism and integrity of its members;
- v. it educates new members of the profession and constantly reminds the old ones of the dos and don'ts of the profession;
- vi. it provides a measure of consistency in dealing with issues;
- vii. it maintains public trust in the profession;
- viii. it serves as a quality control mechanism for the profession's services (Mazikana and Ngulube 2001:3).

Archival ethics is concerned with standards of conduct as they pertain to archives and we need these for the following reasons:

- i. universal access to information;
 - ii. individual versus institutional rights;
 - iii. individual privacy and control of personal information;
 - iv. intellectual property and copyright violations;
 - v. unlimited versus restricted access to archival resources
- (Mazikana and Ngulube 2001:4).

In summary, it is discernible that archivists have a mammoth role in their day to day administration of archives and this role revolves around providing a continuum of care to archival material which has to be informed by a balance of rights and interests. The potential for conflicting rights and interests and therefore from the archivist's perspective, for conflicting loyalties is high (Harris 2000:66).

3.5 PRESERVATION

A medley of issues is involved when discussing preservation and these include inter alia, its relationship with access, the paradigm shift on conceptual aspects, research and reformatting strategies in view of the opportunities brought by the ICT revolution, with the final point being discussed in the next section. An examination of the other issues mentioned above, albeit briefly is presented in this section.

3.5.1 Preservation promotes access

The historic misconception that preservation is in direct conflict with access as portrayed by Weber (1999) and Moyo (2001) is now generally opposed in mainstream archival science. Authors like Rothenberg (1998), Ngulube (2003a), Forde (2002; 2006), Jo Pugh (2005), Menne-Haritz (2001) inveigh against adopting this view as there is a symbiotic relationship between the two. The two share a correlative and causal relationship (de Stephano 2000; cited in Ngulube 2003a:35) and in fact are reciprocal. Mnjama (2008:219) aptly remarked that access to archives cannot be guaranteed unless measures have been put in place to safeguard their preservation.

The old mantra "preservation versus access" should be buried (Forde 2002:167) and the correct concept should be preservation promotes access. According to Menne-Haritz (2001:62), custody without access is incomplete. Ngulube (2003a:36; See also Menne-Haritz 2001:62,) could not have put it better when he remarked that no archivist or records manager needs to be reminded that they create, acquire and preserve records and archives in order that they can be used.

Allied to the foregoing has been the changing perspective regarding the role of archivists as purely curatorial. Ngulube (2003a:39) has espoused the view that the role of the archivists in preservation management and providing access to records in their custody had to be re-examined in the light of the shift from a purely curatorial role to one of facilitating continued access to records and archives. Shep and Goram (2006:182) elaborated further on this view and argued that:

----- archives and libraries saw their role primarily as custodians of materials, protecting them from the hoi polloi and from the vandals of the day. This custodial function was essentially reactionary – keeping people and the elements away from whatever was in collection. The urge to build seems to have been paramount until comparatively recently. Collection building was replaced by collection development and later by collection management, in which a more holistic approach is taken to how we collect, process, store, use, evaluate and preserve the intellectual heritage found in archives and libraries.

What is discernible is not only the fact that there is a growing demand for access to information but also the debate on how to balance this with the need for effective preservation measures. Forde (2006:167) pointed out that a balance is needed between access and preservation in memory institutions, in order to ensure that the contract with present users is extended to future users as well rather than increasingly restricting access due to preservation concerns.

At this juncture, a definition of what constitutes preservation will help with our focus. Hunter (2000:2) has stated that preservation encompasses a wide variety of interrelated activities designed to prolong the usable life of books,

archives, manuscripts and artifacts. It is a broad term that covers the protection, stabilization and treatment of documents. Conway (1996; cited in Hunter 200:2) defined preservation as the acquisition, organization and distribution of resources to prevent further deterioration or renew the usability of selected groups of materials. From this definition the interconnectedness of preservation and access is discernible.

3.5.2 Research

According to Ngulube (2003a:66), archives in the developing countries have problems of limited resources but then this should not be viewed as an excuse not to carry out extensive research on existing preservation practices, standards, strategies and policies. Ngulube (2003) further elaborated that open systems development should be explored as well as independent format like ASCII and proprietary formats like the Portable Document Format (PDF) or SGML formats, as they are likely to offer answers to the problem of obsolescence. Research needs to also take into consideration the need to establish procedures and standards in digital preservation. In a nutshell, the care and maintenance of archival materials is undergoing metamorphosis and Forde (2002:165) has observed that:

Standards, both the official ones and the more informal standards of practice, have changed; the techniques have changed; the archive and conservation professions have changed; the terminology has changed; the opportunities have changed. And not least, the archives have changed as electronic innovations have forced the revision of old practices and the development of new strategies for dealing with yet another medium for information – a highly elusive one.

From the foregoing commentary, it is apparent that the trends in research and development currently underway are multiple and varied to cover them all lest the main thrust of the central idea may be lost by inclusion of obfuscating detail. This transformation can however be summarized and

(Forde 2002:165-170) and Cunha (1990:192-202) noted the following characteristics thereof:

- i. absence of a culture of dependency on chemical intervention;
- ii. greater knowledge of the properties of archival materials;
- iii. higher levels of conservation expertise and recognition of the profession;
- iv. introduction of new management practices and techniques;
- v. greater collaborative networks at regional and international levels.

The foregoing optimism noted by Forde (2002) bodes well for the archival profession in terms of research efforts being undertaken in order to guarantee the safety of heritage materials in the custody of archival institutions. The proof of successful preservation is prolonged survival, measured in centuries rather than months (Forde 2002:180).

3.6 REFORMATTING STRATEGIES

Reformatting is the copying of archival materials from one medium to another irrespective of format (Ngulube 2002:120) and this established strategy has been used to support access to and preservation of collections. One of the explicit purposes of reformatting is to relieve strain on originals. The three common preservation strategies are photocopying, digitization and microfilming and these will be briefly examined.

3.6.1 Photocopying

Ngulube (2002:121) observed that photocopying in Sub-Saharan Africa is primarily done for user convenience. Though the process is faster and cheaper than microfilming and digitization, it exposes paper to agents of deterioration such as heat and light. Therefore photocopying is not generally considered as a preservation strategy.

3.6.2 Digitization

As noted in Section 3.5, digitization is the catch phrase in archival preservation today. Its growth in popularity within the archival community is because the strategy seems to offer excellent prospects for significant benefits for both archives and users (Ngulube 2002:121). The hybrid or dual approach in its usage has been recommended by authorities. In this dual approach microfilming is used as a preservation medium, while digitization is used to improve access.

3.6.2.1 Technological obsolescence

Commenting on the mutations inherent in digital technologies, Waggoner (1999; cited in Lazinger 2001: 75; Rothenberg 1998) acutely observed that:

The biggest enemy of long term data storage is obsolescence. The problem is not so much whether the disk will be around but whether there will a drive around to read it.

In the same vein, Reed (2006:117) noted that digital resources are fragile, vulnerable and in need of constant attention in order to exist both in the short term and long term and this is because computer hardware and software both change rapidly, with new versions of each coming out on a regular basis. With this in mind, Ngulube (2000a:1) noted that the future of the archival heritage is in jeopardy as a result of rapid technological changes in the media used for creating and managing records in general and electronic records in particular. The general consensus seems to be that adopting a spectrum of strategies is the best practice that can be adopted at the moment and the three most prominent strategies are emulation, migration and technical preservation.

3.6.2.2 Emulation

This involves preserving the original digital object in the software and technical environment in which it was created and when required, a program is invoked in the current operating environment which emulates or imitates the operation (Reed 2006:123). Briefly put, it involves the use of one system

to reproduce the functions and results of another system. An example is offered by the online games community. Advocates of emulation would say that their approach is the only viable way of preserving the original 'look and feel' of an electronic record, but it is generally accepted that emulation software is complex and time-consuming to develop (Brown 2003).

3.6.2.3 Migration

Pearce-Moses (2005) defined migration as the process of moving data from one information system or storage medium to another to ensure continued access to the information as the system or medium becomes obsolete or degrades over time. Examples of formats that have become obsolete include ½ inch video-tapes, 5 ¼ inch and 8 inch computer diskettes. Access to information is limited when machines necessary to read these records fail and cannot be replaced. The biggest drawback of migration is that originality is lost as data is transferred or as it undergoes generational changes of software.

The two strategies discussed above – emulation and migration - are heavily depended on metadata (Reed 2006:125; Brown 2003). Metadata is simply defined as data about data and is crucial to any digital imaging initiative as it enables proper data creation, storage, retrieval, use, modification and retention of digitized records (State Archives Department 2004) or as Brown (2003) remarked, metadata is vitally important, not only for resource discovery but also to describe the records with sufficient technical rigour to allow their use and long-term preservation. Metadata needs to be detailed and accurate so that information about the format of the record and the operating tools (hardware and software) required to run/view that particular format remain known. This in turn ensures the preservation of these records.

3.6.2.4 Technical preservation

This strategy involves preserving the original technical environment that ran the system such as the operating system hardware and the original application software. It is a kind of computer museum solution and if adopted

as preservation strategy (Deegan and Tanner 2002:196) would need to be accompanied by regular cycle of media refreshing. However this strategy is expensive and unrealistic as an ongoing solution – obsolete technology cannot keep going forever (Williams 2006:193).

According to Deegan and Tanner (2002:196), it is relatively impractical and financially unfeasible, given the number of computers and programs that would need to be managed over a long period of time. Ngoepe and van der Walt (2009:7) submitted that this strategy can only be regarded as viable for the short to medium term and any organization that relies solely on this strategy would very soon end up with a museum of ageing and incompatible computer hardware with no one to fix the technology. If all else fails digital archaeology or “post hoc rescue” is another option whereby content from damaged media or from obsolete or damaged hardware and software environments is rescued.

3.6.3 Microfilming

According to Lusenet (2006:66), microfilming has over the past century been the preferred reformatting strategy and is more popular than photocopying because it offers the possibility of further duplication. Ngulube (2002:124), Lor (2008:119) and Dherent (1999) elaborated on the strength of microfilm by stating that until digital preservation capabilities can be broadly implemented and shown to be effective, microfilm will remain the primary reformatting strategy for deteriorating paper-based records. The strengths of this strategy are summarized by Lowell (1985; cited in Ngulube 2002:125) and (Adcock, Varlamoff and Kremp 1998:63) as follows:

- i. a well-proven history – there are internationally accepted standards for filming, processing and storage;
- ii. space saving;
- iii. maintenance of file integrity;
- iv. provides security copies of vital records;
- v. eases duplication and distribution;

- vi. microforms can be digitized – integration with computer systems possible; and
- vii. film is compact.

The disadvantages of preservation microfilming as noted by Adcock, Varlamoff and Kremp (1998:63) are as follows:

- i. user resistance – usually microform reading machines in archives are of poor quality and not designed for human comfort;
- ii. users must access the film manually by:
 - a. locating the film
 - b. loading it onto a machine
 - c. spooling through dozens of images to find the required ones;
- iii. if the film is not available it may take weeks to be delivered;
- iv. film can become scratched when handled;
- v. printouts may be of poor quality;
- vi. film creation variables are difficult to control; and
- vii. image quality can be determined only after filming is complete.

As noted, each strategy has its weaknesses and strengths hence the need to strike a balance between the two. The production of both microfilm masters for preservation and digital masters for access seems likely to become the preferred preservation strategy for the future.

3.7 PRESERVATION PROGRAMMES

Weber (1999) remarked that archival documents, like all other organic materials will lose their stability sooner or later until they ultimately deteriorate. Preservation of archival materials means the action taken to prevent deterioration or damage to archival materials and measures taken to repair deteriorated or damaged archival materials. In consequence, most preservation programmes take a phased approach that emphasizes broad stabilizing actions to protect the entire holdings of a repository rather than the

concentration of resources solely on item-level treatment. Such an approach includes (Hunter 2000:3):

- i. understanding the nature of the preservation problem;
- ii. conducting preservation surveys to establish priorities;
- iii. controlling the storage environment;
- iv. planning for disasters; and
- v. performing holdings maintenance and treating of selected materials.

From this programme, the central activities that can be extracted are conservation, restoration and the need for a disaster plan. Conservation has been defined by Pearce-Moses (2005) as the repair or stabilization of materials through chemical or physical treatment to ensure that they survive in their original form as long as possible. Conservation can be both preventive and remedial. Preventive conservation consists of indirect action taken to retard deterioration and prevent damage by creating conditions optimal for the preservation of materials. Remedial conservation consists mainly of direct action carried out on documents in order to retard further deterioration (Ngulube 2003a:50). Restoration is the process of rehabilitating an item to return it as nearly as possible to its original condition (Pearce-Moses 2005). Restoration is the most costly of all preservation measures and repaired materials in spite of the professionalism of the restorers, lose authenticity and informational capacity. If restoration is necessary it shows prevention has failed (Weber 1999).

3.8 DISASTER CONTROL PLAN AND SECURITY

The history of archival collections the world over is littered with natural or human induced disasters and the need for emergency preparedness hardly needs emphasis. An important aspect to consider in the preservation of archival materials is to have a disaster control plan. Disasters do not discriminate where to strike which means all institutions should plan for the worst if resources permit (Ngulube and Magazi 2006:112). The loss of records

and archives through disasters could leave organizations and nations without identity, history or proof of rights (Ngulube 2005:15).

Whether brought about by human error or natural events (Alegbeleye 1993; cited in Kemoni 1996:47), disasters pose the ultimate threat to collections. Ritzenthaler (1993:49) noted that the results are immediate, calamitous and dramatic unlike the slow and insidious process of deterioration that can take place in boxes and filing cabinets. Thus, the need for disaster preparedness cannot be over-emphasized. Ngulube (2003b:58) aptly remarked that disaster planning helps the organization to respond efficiently and quickly to an emergency, minimizing danger to staff and damage to documents and the building while security protects items against theft or deliberate or unintentional damage and destruction.

In spite of the weight of importance attached to the need to have a disaster plan, the situation on the ground within ESARBICA for instance is depressing. The issue of disaster preparedness and security is taken for granted by practitioners yet they are fundamental to ensuring access to and preservation of these materials into the future (Ngulube 2003b:58). Vumbunu (2001:122) reiterated this view by stating that disaster planning is supposed to be the cornerstone of efficient archival administration. Typically, a disaster plan has three phases (Ngulube 2003b:59; Chida 1994:31):

- i. before the disaster (preventive preparedness): implementing measures to remove or reduce dangers as well as being ready by having identified resources, materials, services and procedures in place to deal with problems when they occur;
- ii. during the disaster (response): knowing how to respond to minimize damage quickly and efficiently; and
- iii. after the disaster (recovery): knowing what to do to recover damaged material and resume operations.

The need for a survey or a risk assessment before formulating the plan is crucial as this enables the organization to identify those occurrences which pose the greatest threat to the holdings (Ngulube 2003b: 60). Meanwhile, security is an issue that encompasses all aspects of archival work and should be considered as it relates to processing collections, supervising readers and providing theft deterrents (Ritzenthaler 1993:64).

3.8.1 Environmental control

Archival institutions in the tropical region are faced with a number of formidable challenges consisting of a hostile environment, shortage of funds, trained personnel and training facilities (Thomas 1990 and Chida 1994:27). Despite these problems, the need to provide a sympathetic environment remains as one of the cornerstones of a successful preservation program and look at some of the issues albeit briefly will now be undertaken.

3.8.2 Building structure

The building should provide protection against natural hazards and have a high degree of thermal inertia to ensure that the interior temperature and relative humidity remain reasonably stable and unaffected by fluctuations in the exterior conditions (Thomas 1990). Preferably, the building should be custom or purpose-built to avoid degradation reactions and as noted by Williams (2006:220), the archive service's accommodation needs to be able to cater for the successful implementation of its three core aims of selecting, preserving and making available archives for the long term.

3.8.3 Temperature and relative humidity levels

What needs to be borne in mind here is that there is no ideal level for all types of archival material – only values and ranges that minimize specific types of change in materials and objects. A temperature or humidity that is acceptable for one object may be disastrous for another (Adcock, Varlamoff, and Kremp 1998:23). For example, photographic film, magnetic recordings and digital carriers require low storage temperatures and relative humidity levels if their longevity is to be ensured whereas parchment and vellum items

require an RH higher than 50% if they are to retain their flexibility (Ritzenthaler 1993:46).

There is extensive scientific evidence as noted by Adcock, Varlamoff, and Kremp (1998:23; See also Bottomley 1984:239-244) to suggest that paper will retain its chemical stability and physical appearance for longer at a constant, low storage temperature (below 10°C / 50°F) and relative humidity (30-40%). To maintain the ideal storage conditions, air-conditioning has to be applied around the clock. This provision of a sympathetic environment is facilitated by installing a heating, ventilating and air conditioning (HVAC) system which is the most cost-effective means of storing for the collections (Ritzenthaler 1993:51).

3.8.4 Atmospheric pollutants

Pollutants in the air can also initiate or hasten the degradation of archival materials. Gaseous pollution is caused by the burning of fuels. Gaseous pollutants include sulphur dioxide, nitrogen dioxide and hydrogen sulphide which are products of combustion (Ritzenthaler 1993:47) and these combine with moisture in the air to form acids that attack and damage archival material. Particulate pollutants include dirt, soot (carbon), dust, soil and other solid particles which disfigure archival materials through abrasive action (Adcock, Varlamoff and Kremp 1998:26).

3.8.5 Light

Radiant energy promotes the chemical decomposition of organic materials through decomposition. All organic materials, including paper, leather and pigments are susceptible to photochemical damage at some particular trigger point (Ritzenthaler 1993:47). Light speeds up oxidation of paper and thus its chemical breakdown resulting in loss of strength and the following factors concerning light should be known by all those responsible for preserving archival material (Adcock, Varlamoff and Kremp 1998:27):

- i. chemical reactions initiated by exposure to light continue even after the light source is removed and materials are put into dark storage;

- ii. the effect of light is cumulative. The same amount of damage will result from exposure to a strong light for a short time as to a weak light for a long time;
- iii. visible and infrared light sources such as the sun and incandescent light bulbs generate heat. An increase in temperature accelerates chemical reactions and affects relative humidity; and
- iv. daylight has the highest proportion of ultraviolet (UV) radiation and therefore must be filtered.

3.8.6 Biological agents

Biological organisms that can damage archival materials include fungi (mould and mildew), insects and rodents. Warm, humid conditions, darkness and little air circulation encourage the growth of mould. If left unchecked, mould can obliterate images and text or completely encompass material (Ritzenthaler 1993:49). Insects, rodents and other pests feed on cellulose as well as on organic substances found in collections such as paste, glue, leather and book cloth. Insects attracted to archival material include cockroaches, silverfish and termites. They are usually active at night when people are not present and the damage they cause is irreversible (Adcock, Varlamoff and Kremp 1998:31-32).

Rodents such as rats, mice, squirrels can nibble away at collection items or eat them in their entirety; rodents like to use shredded paper as nesting materials and their droppings are corrosive and leave permanent stains (Ritzenthaler 1993:49). According to Child (1999:148), good design and maintenance of buildings, storage systems and storage containers that allow a high state of cleanliness and good housekeeping policies, combined with a regular monitoring and inspection programme, provides the best long-term strategy for insect pest control in archives.

3.8.7 Abuse and mismanagement

People pose the most constant threats to archival collections. Abuse can either be by staff or researchers, intentional or not but the damage and loss is

far-reaching (Ritzenthaler 1993:49). Actions considered abusive include careless or rough handling, leaves dog-eared, pencil markings and notations. The list is endless and also includes such blatant acts as mutilation, vandalism and theft (National Archives of Malaysia Handbook 1997:124).

According to Ritzenthaler (1993:49), mismanagement is a broad concept encompassing a number of issues ranging from housekeeping practices as well as to processing, storage and handling procedures that affect the well being of archival collections. Broader examples to be included pertain to institutions having neither security programs nor disaster preparedness plans which in short points to the lack of a preservation program (Ritzenthaler 1993:49).

3.8.8 Search room code of practice

Due to the uniqueness of archival materials, it hardly needs to be emphasised that the need to guard these collections jealously is essential, as they are irreplaceable. The control desk has to be constantly staffed by an officer on a rotational basis and there has to be search room surveillance through the use of video cameras. As part of preservation management, reading rooms should have notices directing researchers **NOT** to (Adcock, Varlamoff and Kremp 1998:37):

- i. drink, eat or smoke except in designated areas;
- ii. use ink of any kind;
- iii. use correction fluid or highlighters;
- iv. annotate texts;
- v. lean on archival material or deface any document;
- vi. leave items in direct sunlight;
- vii. leave out items not in use;
- viii. have more than a limited number of items out at a time for consultation.

In a nutshell, the preservation of archival materials encompasses a number of issues ranging from the nature of archival materials and the need to provide a

sympathetic environment to prolong their lifespan, the need to tackle the challenges brought by digital technology and the imperativeness of having a disaster control plan vis-à-vis environmental security considerations.

3.9 TRAINING

Education, training and continuing education underpin the moulding of professionals especially in library and information services (Kaniki 1991: 96 cited in Ngulube 2001b:111). New knowledge and techniques are transmitted to members of a profession through education and training (Ngulube 2001b: 111). More generally, education and training are concerned with the development of knowledge, skills and attributes necessary for individuals to live meaningfully and to contribute positively to society (Ngulube 2001c: 154). For one to be a professional archivist there is need to undergo some form of specialized training to acquire the requisite skills.

Ngulube (2001b: 117) pointed out that archival education in Africa is still in its infancy. Mnjama (1996:31) shared this view and remarked that most African countries have paid little attention to the training of archivists and records managers. In fact, formal education of archivists is a relatively new phenomenon in most academic institutions in Southern Africa. Ngulube (2001b) further contended that the training and education lack focus and a look at the curricula offered by a variety of schools and departments in the region depict massive fragmentation.

This status quo is explained by the fact that modern archivology was born in Europe and North America or the West. Ultimately, archival institutions in Africa inherited the Western approach in respect of selection, acquisition, arrangement, description, preservation and communication of archives. Archival theory and practice remains rooted in the ideas of Sir Hilary Jenkinson (1937) and Theodore Schellenberg (1956). Additionally, our epistemological and ontological presuppositions and understanding of records and archives is firmly based on Western conceptions and typologies (Ngulube

2001b: 117). Consequently, archival education is underdeveloped in Southern Africa and until recently, most archivists in the region were trained overseas.

On the whole then, the fragmented training that there is needs to be mirrored against a backdrop of the globalization phenomenon, which has revolutionized inter alia, the creation, use and preservation of documented information. To the contrary, the situation on the ground is pathetic. According to Currie (2000 cited in Ngulube 2001c: 157), Anglo-phone Africa's training model is derisory in today's society that is characterized by terms such as "global village", "global information society", "knowledge age" and "information age". Of importance here, is the fact that the information society requires records managers and archivists who can efficiently contribute to the development of society by having portable and comparable qualifications that can be used across the board to harness the advantages offered by the information age (Ngulube 2001c: 157).

Mnjama (2002a: 140; See also Mazikana 1998:78) agreed with the aforesaid and remarked that archivists and records managers trained in the last two decades have found themselves unable to perform their duties satisfactorily or to offer advice to records creating agencies as the skills and competencies they acquired during their professional training did not embrace fully emerging technologies. He further aptly asserted that unless these professionals are provided with training in information technology they are bound to become unemployable.

It was in the light of the above assertion that ESARBICA's Biennial Conference held in Harare from 23-27 July 2002 re-affirmed the need to have a standardised approach to the education of archivists in the region (Ngulube 2001c: 157). Kangulu (2000; cited in Nengomasha 2006:213) observed that one of the problems affecting the development of archival institutions and the archives and records management professions in Africa is the lack of a large pool of qualified archivists and records managers. This state of affairs has been aggravated by the advent of ICTs and as aptly noted by Ngulube

(2007), many records managers in Sub Saharan Africa lack the necessary professional capability to deal with electronic records.

3.10 PRIVATE ARCHIVES

As noted in Section 1.1.1.3.1, private archives or historical manuscripts originate from unofficial or non-governmental sources such as individuals, business organizations, missionary societies, political groups, trade union organizations and so on. According to Dahlin (2007:9), private archives are necessary complements to the records in public archives. This view was also shared by Curall and Moss (2008:71) who postulated that records of organizations in both private and public sectors have always been amplified by private papers.

Curall and Moss (2008:74) further asserted that the most informative information on a particular subject may or may not be contained within the archives of an organization: it may be contained in the private papers of an individual who was connected with the organization or may have been discarded and subsequently recovered by an individual or organization. It therefore hardly needs emphasis that records found in private archives can give valuable insights into personal networks as they often contain traces of the individual's personal thoughts.

3.10.1 Migrated archives

Nsibandze (1996:84) confirms that all member states of ESARBICA have been, at one point or another, under some form of colonial rule. This exposure to colonial powers has led to archives being removed to different destinations at independence. In such scenarios, the question that comes to mind is whether it is possible to precisely reconstruct the history of these nationalistic movements without tangible records. Due to the nature of operations, the records in question were either internal or external. Internal records were usually produced "underground" or through front organizations while external records were produced in exile that is, for example, press releases, circulars, flyers and posters. According to Khamis (2000:64), it is true that there are some cases in Africa and elsewhere where records were

forcibly taken by the colonial powers and deposited in their metropolis and others due to the colonial pattern of administration in the form of federation, with records being deposited in the then headquarters.

Nsibandze (1996:84) concurred with the above view and pointed out that some of Southern Africa's archives are still in exile, not only abroad, that is, in the custody of former metropole governments, but also within the region or the continent itself. Nsibandze (1996:84) further intimated that:

The history of mankind is full of examples of archives that have been wrongfully transferred from one country to another. Loosely put, archives in exile are archives unjustly (removed) transferred from one country to another. Whether one employs the term "fugitive archival material", or "missing documents", "migrated archives" or "removed or displaced archives", the common factor is that they are not where they are supposed to be, in their rightful place of custody.

The debate on migrated archives has centred not only around the term itself, but also on the nature of ownership and even on the extent of access which a country can be allowed in order to retrieve migrated archives. This alienation of cultural property as Kukubo (1990:3) remarked, constitutes by far the largest single group of archival estrays. As unique information resources, migrated archives constitute such an invaluable source of information and provide continuity to our history and culture and hence the need to retrieve and preserve them for posterity (Khamis 2000:64). Mnjama (2002b:32), identified eight categories of archival claims and for clarity's sake, these will now be briefly examined.

The first category consists of records originally created and maintained by various government agencies of colonial powers in their home countries. Records of colonial administration created in colonies but transferred to

Europe at the dawn of independence constitute the second category. The third category relates to records created in one territory but which somehow found their way to another territory in the region (Mnjama 2002b:34; See also Mnjama 2001:97). The fourth category belongs to the archives of regional bodies which collapsed either during the colonial period or soon after independence. The fifth category relates to private papers of individuals and organizations that had contacts with Africans.

Mnjama (2002b:32) contended that records created by liberation movements whose members were forced into exile comprise the sixth category. The seventh category relates to records of various non-governmental organizations based in Europe in the colonial period. A case in point are the records of the Anti-Slavery Society which refer to African affairs and are thus worth examining for information relating to Africans. The final category relates to audio-visual materials such as photographs, films and audio-tapes which are often held in specialized repositories. Films in particular depict various social aspects of African life (Mnjama 2002b:34).

Mnjama (2002b:32) noted that the records relating to African national liberation movements were a bone of contention at the 16th ESARBICA conference held in July 2001 in Harare. In mind here are records of movements such as the ANC of South Africa and other bodies in the Southern African region. Locating these records has often proved difficult as their offices at times were raided or destroyed during the independence struggle. In some cases, records remained in countries where freedom fighters sought refuge and the actual acquisition of copies of these records held in European cities has been very slow. In the absence of manuscript registers, it can be very difficult to establish their whereabouts (Mnjama 2002b:34).

This view was also shared by Namihla (2004:226-227; see also Johnstone 1987 cited in Mazarire 2002:40) who remarked that a considerable proportion of Namibia's population went into exile where most of them lived not as mere

refugees but were actively involved in the liberation struggle. These exiles left a world-wide documentary trail across countries ranging from Australia to Canada, from Cuba to China, from Algeria to Zimbabwe. Millions of records of high relevance to Namibian history were created abroad, and are now found scattered all over the world. Hence, digital repatriation, or at least mirroring of these archives, has become urgent (Namihla 2004 cited in Limb 2005:5).

Mnjama (2002b) further acknowledged that at the above mentioned Harare meeting (2001), no conclusive decisions were taken about these records but archival institutions were urged to take practical steps to ensure that these records were identified and listed and where possible, proper arrangements for their housing made. This acknowledgement was the forerunner to the 2003 ESARBICA Cape Town Declaration on national liberation archives.

For the purposes of this study, the sixth category pertaining to records created by African national liberation movements was taken as the point of reference.

3.11 REVIEW OF RELATED STUDIES

As noted earlier on, Kaniki (1999:17) asserted that no research exists in a vacuum but relies on previously done studies or writings that put research into perspective. The review of related studies presented below served to highlight gaps in the literature that needed exploration. In addition, as Leedy and Ormrod (2001:70) intoned, the literature review reveals investigations similar to one's own and can show a researcher how collateral researchers handled similar situations.

3.11.1 National liberation movements

Archival activities and records management services within national liberation movements in East and Southern Africa have been largely neglected (ESARBICA 2003) and this study therefore sought to break new ground for the benefit of scholarly research. Academic studies on nationalistic

movements in Southern Africa, for example Friedland (1980); Scholtz (1983); Pandya (1987); Courville (1988); Schreuder (1995); Mavhunga (2000); Steyn (2002); Chimhanda (2003) and Sibanda (2005) have tended to focus on the ideological framework that underpinned the struggle for self-determination to the extent of “overlooking” the upkeep of the raw material (the records) which form the backbone of historical research.

Despite the ideological orientation inherent in these studies, it is imperative to examine the tenets that they are built on because their research drew findings from the records which the present researcher was concerned with from a point of view.

Friedland (1980) comparatively examined the development of revolutionary movements in Southern Africa by looking at FRELIMO (Mozambique) and the ANC of South Africa. The conclusion reached was that settler regime policies produced a similar reaction towards the growth of African nationalism and had an identical influence upon the development of the African nationalist movements in Mozambique and South Africa.

Scholtz's (1983) study was on revolutionary nationalism in Southern Africa but unfortunately it's in Afrikaans and could thus not be accessed by the present researcher. Pandya (1986) investigated the application of Mao Tse-Tung's theory of guerrilla warfare by the Zimbabwe African National Union and concluded that its application was determined by the situation obtaining on the ground. Valentine (1987) analyzed the perceptions of African liberation movements (SWAPO and ANC of South Africa) in the non-African press, that is, West German and Soviet Press between 1972 – 1982. The image portrayed was established to be distorted and damaging to Africa's interests.

Courville (1988) examined the strategy for liberation by Zimbabwe's nationalist movements and concluded that the historical factors of land dispossession, forced labour and so on led to the adoption of the armed struggle. Schreuder (1995) investigated the perspectives in an African context of ANC's armed struggle and concluded that its struggle seldom reached the

stage of guerrilla warfare that was obtained elsewhere on the continent. Mavhunga (2000) argued that ideological underpinnings had an impact on the conduct of guerrilla warfare in Southern Rhodesia by ZIPRA and ZANLA. Steyn (2002) examined the role of SWAPO in the Namibian transition to democracy between 1984-1999 by assessing some of the challenges that confronted the organization in its struggle for emancipation.

Chimhanda's (2003) study was on the contribution of ZAPU in Zimbabwe's liberation struggle from the time the party was formed in 1961 until the attainment of independence in 1980. The conclusion reached albeit inaccurately, was that the lack of consistence by its leader Joshua Nkomo contributed to ZAPU's failure to employ its full potential on the battlefield though its participation in the struggle for independence in Zimbabwe cannot be ignored.

To the contrary, as opined by Sibanda (2005:220), ZAPU's prosecution of the armed struggle throughout the 1970s, was based on its two-pronged approach of fighting and negotiating. More importantly, the armed struggle in the late 1970s had entered a decisive phase in the sense that ZAPU had realized that guerrilla warfare alone would not dismantle colonialism and ZAPU was thus readying itself for conventional warfare – it was all about forward planning in preparation of power consolidation after the seizure of state power by regular forces (Brickhill 1995:50; Sibanda 2005:184).

Sibanda (2005) explored the political history of insurgency in Southern Rhodesia with particular reference to the Zimbabwe African People's Union (ZAPU) and argued that the party contributed diplomatically and militarily towards the liberation of Zimbabwe in contrast to the stereotyped view that ZANU brought independence to Zimbabwe.

3.11.2 Private archives

Kufa (1983) gave a narrative account of private archives in terms of their location, collection and accessibility with reference to Zimbabwe. He observed that many Zimbabwe-related private archives belonging to black politicians,

trade unionists, political organizations and even missionaries are located in numerous United Kingdom depositories. Kufa's (1984) study highlighted the issue of migrated archives and the need for their restitution. It was the prerogative of this study to ascertain how far this had been done, if at all.

Seton (1984) undertook a survey of the current situation in selected member states of UNESCO, regarding the acquisition, preservation, arrangement, description and access to the principal categories of private archives, including those of business and labour organisations, universities and colleges, religious organisations, cultural and scientific institutions, estates and families. The findings of the survey were analysed to determine trends, needs and problems, with special reference to the needs of developing countries. Seton (1984) used a questionnaire to gather data from both developed and developing countries. Her findings revealed that paper was the media of most manuscripts and private archives held in responding institutions.

Of great relevance to the present study was the revelation that private archives were a matter of concern to archivists in developing countries as these were not actively acquired, but were simply taken or came to be located abroad due to various circumstantial factors. Seton's (1984) study concluded with recommendations for action at the international level to assist in ensuring more comprehensive and effective preservation and administration of private archives. Amongst the list of recommendations suggested was the fact that the time had come to give legal protection to private archives where desirable and practical. Measures suggested included registration and classification of private archives, prohibition of the sale and destruction of classified archives and requirements that private owners make adequate provision for the preservation and availability of their archives (Seton 1984).

Mnjama and Sebina (2001) examined the role of records management in private organizations and central in their thesis was that a sound records

management programme was a prerequisite to quality management system programme. They argued that records were the lifeblood of the organization and failure to manage records was evidence of bad management. Mnjama (2004) further examined some of the issues that confronted public and private organizations in their efforts to manage records and information. He suggested that to a large extent many of these problems were due to lack of policies and procedures, inadequate storage facilities and lack of well trained and competent staff. The two studies by Mnjama and Sebina (2001) and Mnjama (2004) were appropriate for the present study as they dealt with private records and the fact that the problems they identified resonate throughout the archival fraternity especially in Africa.

Chachage (2005) focused on developing a model for corporate records management system to sustainability reporting in the Iringa region in Tanzania. His study investigated records keeping practices in the Tanzanian private sector - that is business records - and recommended a modified records lifecycle approach in their management. His study whilst significant from a theoretical point of view fell far short on archival administration which was the major thrust of the present study.

A study to investigate records management practices and procedures at the University of KwaZulu-Natal in order to find out if the institution was managing its records in accordance with established principles and procedures was conducted by Chinyemba in 2003. The study used a self-administered questionnaire as the primary tool for data collection and concluded that the university did not manage records in accordance with established procedures for records management. From a theoretical point of view the study was relevant, but - as with Chachage's 2005 study - was found wanting on archives management.

3.11.3 Records and archives management

A study conducted by Abbot (1999) examined the management of electronic records by the National Archives of South Africa and noted that obsolescence of hardware and software was a challenge for the long-term preservation and

access to electronic records as well as staff resources in terms of skilled manpower to manage the record. This observation was pertinent for the present study as it revealed a growing trend regarding the problems of managing media in digital format. Studies by Mutiti (2001), Sejane (2004) and Ngulube (2004) confirmed this trend.

A survey by Mutiti (2001) on the extent of computer applications within ESARBICA's archival institutions revealed lack of policies, expertise and limited financial capacity to manage electronic records. Tafor (2001) undertook a study to investigate the strategies used in managing records and archives of public institutions within the ESARBICA region. Tafor (2001) singled out a number of anomalies ranging from financial and human resource problems. He also bemoaned the outdated legislation which was in dire need of a review. His focus on public archival institutions exposed the gap in as far as the management of private archives was concerned.

Meanwhile, Ngulube (2003) conducted a study on preservation and access to public records and archives in South Africa. His study noted a number of issues which included, inter alia:

- i. research on preservation was limited;
- ii. the acute shortage of staff was problematic particularly in areas such as digitization, environmental and disaster planning activities;
- iii. there was limited access to records and archives due to inadequate preservation strategies; and
- iv. archives' materials were not properly protected from natural disasters.

Ngulube's (2003) study was significant to the study in that his data collections techniques, the triangulation method were in tandem with the approaches of the present study. Of great importance as well was that his study perceptively dealt with preservation issues and the questionnaire for data gathering for this study was adapted from his previous study. In tabling his recommendations for further research, Ngulube (2003:353) noted that there was need to assess preservation efforts of non-public records to gauge the

extent that the collective memory of the South African society was at risk of becoming inaccessible. Such a study as he observed, would also go a long way in providing baseline data that could be used as a basis for comparing preservation activities in the public and private sectors (Ngulube 2003:353).

A case study on the management of electronic records in the Lesotho public service was conducted by Sejane in 2004 and it revealed that the lack of expertise and outdated legislation were impediments in their professional management. Ngulube (2004) used methodological triangulation in an empirical study on how technological advances were threatening access to the cultural heritage of selected countries in sub-Saharan Africa. His study was relevant to the present study for its use of triangulation and for raising awareness on the need to safeguard the nation's heritage in the wake of the information and communication technologies' revolution.

Garaba (2005) investigated archival appraisal practices in member states of ESARBICA by examining the methodologies, strategies, policies and standards used to regulate the appraisal process. Using questionnaires, interviews and observation techniques the study concluded that the process was not being done professionally and that this threatened the future of historical research, corporate memory and national heritage of ESARBICA member states. Garaba's (2005) study confirmed Tafor's (2001) findings that the legislation in place was archaic and in need of modernization in view of the proliferation of digital records. The fact that appraisal is at the heart of archival operations (as all other activities profit from it and in view of the expert skills required to carry out the delicate task), means that Garaba's research was relevant to the present study.

Ngulube and Tafor (2006) examined the extent to which archival institutions within the ESARBICA region managed public records and archives. Interviews, content analysis of documents and self-administered questionnaires were the data collection methods employed for the study. Their findings validated earlier studies that archival institutions within the region lacked the capacity

in terms of expertise and standards in their records and archival activities. In confirmation that any research endeavour is a voyage of discovery, their study unearthed two important aspects pertaining to the field of archival science within ESARBICA. Firstly, the lack of a code of ethics called into question the professionalism of those safeguarding the nation's heritage and secondly, the majority of archival institutions within the region were still lifecycle oriented. These two aspects were part of the focus of the present study and hence their study was pertinent.

The framework for the present study was adapted from Williams' (2006) book with some modifications. Williams (2006:19-20) identified substantive and facilitative functions as the foundation for archival administration and these provided the guideline in the construction of the present study.

Kemoni (2007) explored existing policies and practices for managing records in public institutions in Kenya. The records continuum model formed the theoretical foundation of his study and this framework was used by the present study. The use of questionnaires, interviews and observations to gather data was similarly employed for the present study.

Abankwah (2008) investigated the management of audio-visual materials (AV) in the ESARBICA region. She employed triangulation in her data collection methods. Her study highlighted a plethora of problems pertaining to the management of AV materials in particular their continued dissipation due to various factors such as climatic and environmental conditions, lack of skilled AV archivists and the lack of a standard legal framework in the ESARBICA region. Her research focused on public archival institutions and thus ignored private archives but this is not to demean the fact that she highlighted a crucial aspect of archival management in the wake of the ICT revolution. In addition, the structure of her study in terms of content was seductive.

The low profile accorded records management in government circles defies logic considering the fact that an effective records management programme is

a major element of the governance of any organization. Justifiably, this was the premise that instigated Ngoepe's (2008) research in which he investigated records management trends in the Department of Provincial and Local Government (DPLG) in South Africa. His study reiterated the need for the commitment and support of top management and concluded that a records management programme will only function effectively if it is developed as part of the strategic objective of an organization.

Ngoepe's (2008) study is similar to Kemoni's (2007) treatise as both pointed out that good governance in public offices could be improved by sound records keeping practices. Their conceptual frameworks were relevant to this study as not only did they continue to propagate the records lifecycle and continuum debates in the management of paper and electronic records but also adopted models appropriate to their studies in the wake of their dissections.

3.12 SUMMARY

The chapter reviewed the literature pertaining to the management of records and archives. Archival management has a long history spanning centuries, and its evolution has been shaped by the exigencies of the contexts in which archives operated. The theoretical framework underpinning the study was examined and the records continuum theory was found to be plausible because of its integrative appeal. The archival principles that govern the administration of archives were also discussed. The advent of information technology has brought a plethora of challenges to archivists hence the need for them to keep abreast with this new technology and exploit the opportunities abounding. However technological advances threaten long-term access to records and archives. These issues were explored. In a nutshell, the literature review provided the foundation for the study's research objectives and the interpretation and presentation of the data.

CHAPTER FOUR: RESEARCH METHODOLOGY

4.0 INTRODUCTION

The primary agenda in this chapter was to give an account of how the study was executed by scrutinizing the literature on research methodology and data collection techniques. According to Ngulube (2005c:128) and Macrina (2005:1), describing the methods used by the researchers is essential because it enables other researchers to replicate and test methods used in the study. A detailed and accurate account of research procedures may also enable readers to explain differences in findings among studies dealing with the same research question in terms of differences in procedure. In addition, the articulation of research procedures by the investigator/s demonstrates the degree of acquaintance with the research methods used in social science research.

With the foregoing in mind, the overall research approach of this study was exploratory and descriptive, where the purpose was “to gain a broad understanding of a situation, phenomenon, community or person” and where “the need for such a study could arise from a lack of basic information in a new area of interest” (Bless and Higson-Smith 2000:41). Neuman (2003:29) outlined the three basic purposes of research as being exploratory (explore a new topic), descriptive (describe a social phenomenon) and explanatory (explain why something occurs).

Neuman (2003:29) noted that while studies may have multiple purposes, one purpose is generally dominant. The dominant purpose of the present study was exploratory and descriptive. In other words, the research sought to examine inter alia, patterns or relationships at play and established practices, beliefs and attitudes within the archival holdings of selected former national liberation movements in east and southern Africa in as far as records keeping was concerned. Lawson (1997:126) observed that in any research activity, the researcher is engaged in a voyage of discovery to establish something about the nature of some phenomenon.

The focus now turns to the data itself, the information that makes up the building blocks of the research project. Data exists in two primary formats namely quantitative or qualitative. Briefly, quantitative data can be defined as being numerical in nature (the “how many” or “how often” questions), while qualitative data can be defined as being verbal (the “how” and “why” questions).

As for the collection of this data, for quantitative data the survey research technique was the primary research instrument as numerical and qualitative data was collected through self-administered questions posed to archivists heading these archival institutions. Creswell (2003:153) pointed out that a survey design provides both qualitative and quantitative or numeric description of trends, attitudes or opinions of a population by studying a sample of that population. From the sample results, the researcher generalizes or makes claims about the population. The numerical data obtained was prepared through coding, entering and cleaning with the aid of the software programme known as SPSS.

Qualitative data, as noted above, can either be textual or verbal. This data was derived from structured interviews, with a content analysis of open-ended questions from questionnaires and interviews being done to extract the information from the data. According to Wolcott (1994; cited in Creswell 2003:182), qualitative research is fundamentally interpretive and it follows that the researcher makes an interpretation of the data and subsequently proceeds to report on the patterns or relationships at play. The technique behind the process is to identify patterns, themes or biases in recorded information. According to Colorado State University (2007) and Ngulube (2003:229), content analysis involves the collection and organization of information systematically in a standard format that enables analysts to draw conclusions about the characteristics and meaning of recorded material.

The content analysis focuses around certain words or concepts within texts or set of texts. Researchers quantify and analyze the presence, meanings and relationships of such words and concepts and then make inferences about the messages within the texts. The text is anything written, visual or spoken that serves as a medium for communication and it includes interviews, discussions, historical documents, speeches, conversations, films or videotapes (Neuman 2000:292). In short, any occurrence of communicative language constitutes text. The overall aim of data analysis is to condense information in a body of data that can be easily comprehended and interpreted (Tafor 2001:52). Krippendorff (1980:21) stated that as a research technique, content analysis involves specialized procedures for processing scientific data.

As can be discerned from the aforesaid, the study was both quantitative and qualitative, that is, it employed the mix and match approach as Ngulube (2003:197) has put it. The combination of data collection techniques constitutes triangulation which Denzin (1997:318) defined as the application and combination of several research methodologies in the study of the same phenomenon. The process is used in an endeavour to overcome the weaknesses or biases of a single method and the combinations so employed relate in some specified way to the theoretical constructs under examination.

Triangulation is also known as multimethod/multitrait or convergent validation and according to Gill and Johnson (1997:160), this approach for the most part shares the notion of complementary qualitative and quantitative methodologies rather than competing approaches. According to Terre Blanche and Kelly (1999:128), triangulation entails collecting material in as many different ways and from as many diverse sources as possible. It is this quality that enables researchers to "home-in" on a correct understanding of a phenomenon by approaching it from several different angles.

Its central premise, as noted by Creswell and Clark (2007:5), is that the use of quantitative and qualitative approaches in combination provides a better

understanding of research problems than either approach alone. The whole process is complementary (Mouton 1996:156; Bryman 2008c:603) as the idea is to offset the weaknesses or biases of a single method. Bryman (1988:173) succinctly remarked that there are situations and topics in research that are better served by a marriage of two traditions and Creswell (1994:7) remarked that the advantage of methodological triangulation is that it bridges issues of reliability (trustworthiness) and validity (relevance). Denzin (1997:321) subscribed to this view and pointed out that:

Triangulation is the preferred line of research in social science. By combining multiple observers, theories, methods and data sources, social scientists can begin to overcome the intrinsic bias that is bound to come from single-method, single-observer, and single-theory investigations. Single-method studies are no longer defensible in the social sciences.

In summary, relying on triangulation by interrogating and validating multiple sources enabled the present researcher to have more confidence in the drawing up of conclusions. In consequence, quantitative and qualitative data collection was done concurrently.

Creswell (2000:217) and Bryman (2008a:89) both noted that priority should be equal between the two methods, but in practical application the priority may be given to either the quantitative or the qualitative approach. In this instance, the research employed questionnaires because of the geographical dispersion of the population and, depending on affordability, interviewing and observations were conducted to validate and substantiate findings. Though the research was cross-paradigmatic, it had an inherent bias towards the quantitative approach, which was dominant with the qualitative approach less-dominant.

4.1 RESEARCH DESIGN

As regards data collection, Gill and Johnson (1997:83) asserted that the most appropriate choice of how to gain access to informants and how to collect information is contingent upon the various demands of the research design. A research design is a complete strategy of attack on the central research question and provides the overall structure for the procedures that the researcher follows, the data that will be collected and the subsequent data analysis to be done (Leedy and Ormrod 2001:91; Bryman 2008c:30).

Furthermore as noted by Smith (2000:17), the research design specifies the population to be studied (the “who”), the treatment to be administered (the “how”) and the dependent variables to be measured the “what”, which in turn are all guided by the theoretical foundations underlying the research. Bryman (2008c:31) highlighted the view that the choice of the research design reflects the decisions about the priority being given to a range of dimensions of the research process. In the words of Frazer and Lawley (2000:8), Mouton (1996:107), Burns (2000:145) and Durrheim (2006a:34), the research design is the blueprint or plan of how the information to answer the research problem will be gathered and answers the question: how will we collect information to address the research problem? Jennings (2005:27) pointed out that the research question is the roadmap of the research project. In consequence, the onus is upon the researcher to determine the choice of a research approach that will fulfill what the research seeks to achieve.

Therefore, the issues explored in the study’s research design focused on the following:

- i. survey research;
- ii. population;
- iii. data collection instruments;
- iv. pretesting of research instruments;
- v. data collection procedures;
- vi. problems encountered in data collection;

- vii. data analysis;
- viii. ethical issues; and
- ix. evaluation of research methodology.

A discussion of these items will now be undertaken in an endeavour to provide an illuminating insight of the methodological story.

4.2 SURVEY RESEARCH

The word survey literally means to look at or see over or beyond or, in other words, to observe (Powell and Connaway 2004:83). Fink (1995:1) and Chilisa and Preece (2005:100) defined a survey as a system for collecting information to describe, compare or explain knowledge, attitudes and behaviour. Surveys involve setting objectives for information collection, designing research, preparing a reliable and valid data collection instrument, administering and scoring the instrument, analyzing data and reporting the results.

A key strength of survey research is that, if properly done, it allows one to generalize from a smaller group to a larger group from which the subgroup (sample) has been selected. The survey research method is one of the techniques employed in carrying out research and for the present research; it was found appropriate considering the virginity of the research area and that the population under study was geographically dispersed. More importantly, Burkell (2003:239) acutely observed that Library and Information Science (LIS) researchers study the needs, challenges and problems of information professionals and information users and surveys are thus an excellent method of collecting information about the opinions and experience of research participants.

Furthermore, the use of this methodology was not only because of the nature of the study under investigation but due to the versatility of the technique as questionnaires and interviews can be employed to collect data about a population. This versatility has made surveys attractive and increasingly popular in recent years (Babbie and Mouton 2001:230-231; Vyhmeister 2001:132; Visser, Krosnick and Lavrakas 2000:223; Burkell 2003:239). The

use of surveys dates back to early times and Ngulube (2003:199) correctly pointed out that their use is by no means an invention of the modern social scientists. A look at some of the historical examples in the use of survey research is now presented.

In 1880, Karl Marx, the German political sociologist designed a lengthy questionnaire to investigate the exploitation of workers by employers. Later, Marx Weber used it in his study of the religious ethic. According to Majumdar (2006:242) in the twentieth century, its use expanded upon improvements in various aspects of the methodology. For example, the U.S. censuses made important contributions in sampling and data collection techniques for surveys.

Majumdar (2006:242) further noted that the Gallup, Roper, Harris and others through their privately funded surveys helped to develop the sampling techniques and improved the format of the survey. Babbie (1998:38-39) observed that researchers like Samuel Stouffer helped to develop scientific methods of empirical survey-based research and Paul Lazarsfeld popularized the application of surveys in understanding of social phenomenon like an economic depression and its impact on the population. In the LIS field, Seton (1984) and Mazikana (1990) for instance used survey research to investigate identified problems in the discipline of archival science.

However, despite its long tradition and reputation, survey research is steeped in controversy, particularly as regards methodology and for example, there is a lack of clarity in interchangeable use of the terms "survey" and "questionnaire" within the literature. The view by Frazer and Lawley (2000:4) and Pickard (2007:95) that a survey is the overall research design of which a questionnaire is one part would receive justifiable endorsement. Concisely put, a survey is a research method and a questionnaire is a data collection technique (Pickard 2007:101).

There are different views on surveys but most survey researchers are agreed on the need to keep in mind the research problem, the sources of the desired

information, the nature of the data to be collected and the major purpose of the research (Czaja and Blair 2005:11-14; Ngulube 2005:132; Powell and Connaway 2004:84; Majumdar 2008:242-244). The consensus centres on the general stages in the development and completion of a survey. It should be pointed out from the onset that the stages are numerous, but interrelated. The following sections discuss the two preliminary stages of the survey, while the other stages are explained in detail in Sections 4.2 – 4.10. Prior to this, however it is worthwhile to look first at some of the drawbacks that are associated with survey research.

4.2.1 Criticisms of surveys

Like all measures in social sciences, social survey measurement is not error free (Fowler 2002:4; Babbie and Mouton 2001:262). It thus has its advocates and critics hence the prevalence of “paradigm wars”. Visser, Krosnick and Lavraks (2000:223) aptly noted that every method of scientific inquiry is subject to limitations and choosing among research methods inherently involves trade-offs. The most common criticisms of surveys can be classified into two categories: philosophical and technique based, and according to De Vaus (1996:3) this criticism is largely based on misunderstandings of what surveys can be.

One philosophical criticism for instance is that survey research is basically empiricist, that is, it merely collects a mass of facts and statistics and provides nothing of theoretical value. To the contrary, the use of theory and interpretation is fundamental to well conceived survey research and analysis. Another pointed criticism is that survey research is too restrictive because it relies on highly structured questionnaires which are necessarily limited. This criticism is contestable on the grounds that it is too narrow and exhibits lack of understanding of what techniques can be used in surveys (De Vaus (1996:7-8; Marsh 2004:170-175).

4.2.2 Objectives

In a survey research project, the researcher must first decide what the actual purpose of the survey is. Pickard (2007:95) noted that the aim of survey

research is to study relationships between specific variables, which are identified at the outset of the research and stated as either a hypothesis or a research question, or to describe certain characteristics of the population. In other words, a prerequisite to designing a good survey instrument is deciding what is to be measured (Fowler 2002:105). For the present study, Section 4.1. highlights in a broad context the areas of investigation that were pertinent.

4.2.3 Research objectives

Punch (2003:30-31) pointedly noted that in any study, the research question in this case phrased as the purpose provides the much needed direction and coherence and also helps to determine the unit of analysis (which is the organization, individual or social artifact being surveyed, see section 4.2 below) in a study. Majumdar (2008:242) observed that the research objectives drawn from the research questions (for example, what is the state of archival digitization in the ESARBICA region?) help to identify variables (for example, the different approaches and uses of digital technology) related to those variables and collect specific information (for example, who uses what technology?) related to those variables.

In addition, it helps to mark the boundaries of a project, maintain focus and guide the entire data collection and analysis process. The need for research questions to be focused hardly needs emphasis but it has to be noted that questions can be refined and new issues can emerge while reviewing literature or while collecting or analyzing data (De Vaus 1996:7-8). For the present research, the following research questions were pertinent:

- i. has a systematic survey been conducted to establish the location, custody, volume, composition, condition and management of liberation struggle archives?
- ii. do infrastructure issues comprising policies, procedures and resources for their management exist?

- iii. how physically secure are the records with regard to ensuring their long-term preservation?
- iv. has a preservation needs assessment been done?
- v. have the ICTs provided new opportunities for the management of the liberation struggle records?
- vi. how harmonious is the relationship between national archives, political parties and former liberation movements in the management of records?
- vii. what model can be suggested to effectively implement records and archives management programmes for the documents of these former national liberation movements?

The above research questions provided the direct link between the abstract concept of the purpose of the study and the raw data that was collected through the survey.

4.3 POPULATION

In a study, the units of analysis needs to be identified prior to collection of information and Bless and Higson-Smith (1995:85), Leedy and Ormrod (2001:98) and Majumdar (2008:243) agreed that the population of a study refers to a set of objects and events or group of people which is the object of research and about which the researcher wants to determine the characteristics. The population or units of analysis may be characterized in terms of individuals, groups, organizations and social artifacts or any element that is of interest to the researcher (Majumdar 2008:243). The data collection stage of survey research involves identifying the survey respondents and collecting the desired information from them (Rosier 1997:157).

Archival surveys are constructed around a set of specifications. These specifications delimit the boundaries and the target groups of the survey. Within the context of this study, the set of specifications were the twelve national archives repositories within the east and southern African region and archival repositories housing the records of former national liberation

movements within east and southern Africa. As for the former, the countries were as follows: Angola, Botswana, Kenya, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Tanzania, Zambia and Zimbabwe. The one set of specifications in the study population was the member-states of ESARBICA, derived from the ESARBICA website (ESARBICA 2004). The other set was the archival repositories housing the records of former national liberation movements within east and southern Africa and the focus here was on the ANC struggle records and archives (seven in all)⁸, as well as on the FRELIMO, MPLA, SWAPO, ZANU PF and ZIPRA archives.

In total, twenty four institutions were identified (Refer to Appendix 9) and the census approach was thus found appropriate. A census involves a survey of the whole population (Bless, Higson-Smith and Kagee 2006:107) and a plus factor about this census approach is that it eliminates sampling error and provides data of all units of analysis in the population. For the purpose of the present study, the census approach was adopted because only twenty four units of analysis were identified as discussed above. Leedy (1997:211) aptly noted that it is unnecessary to sample populations that are less than one hundred.

As can be deduced, the study dealt with liberation struggle records housed in both public and private institutions. Of late, scholars have been arguing for comprehensive and co-ordinated information policies to cater for information generated by public and private institutions in various countries. According to

⁸ The seven archival institutions housing ANC archives are:

African National Congress Archives

Alan Paton Centre and Struggle Archives (University of KwaZulu-Natal, Pietermaritzburg)

Digital Innovation South Africa (DISA)

Gandhi-Luthuli Documentation Centre (University of KwaZulu-Natal, Westville)

Liberation Archives - University of Fort Hare

Nelson Mandela Foundation

UWC-Robben Island Mayibuye Archives

Chachage and Ngulube (2006:2), the passing of "FOI laws" in some countries underscored the need for private and public records to be managed so that they will be available when citizens request to have access to them in terms of the law.

Mnjama (2005:468) also noted that the private sector is yet to fully participate in the collection and preservation of records and archives. It is therefore patent that national archival institutions tend to neglect private archives, a situation which needs redressing. The informants or respondents were archival administrators, especially directors or chief archivists of archival institutions as this group of professionals is knowledgeable, "experienced" and in one way or the other, had a voice when it came to policy formulation.

As earlier noted, concerted efforts were made to elicit the input of records and archives experts in the field which could have shed more light on some of the issues but then most of these experts did not respond despite numerous reminders. As regards former freedom fighters, the agreement with my supervisors was to target for interviewing prominent personalities in government circles who have their own private archives of liberation struggle archives in their homes but then because of their hectic schedules, this was not realized. In addition, the failure to make contact with prominent historians who have vast knowledge and experience on the subject of liberation struggles was an oversight and the suggested recommendations in this present research on areas needing further exploration in this field attest to this fact.

4.4 DATA COLLECTION INSTRUMENTS

According to Majumdar (2008:247), data collection requires the selection of a mode of data collection and development of a data collection form where the data is entered. The choice of any particular method of data collection is often based on its appropriateness in answering the areas of investigation in a

study. Data for this study was collected using structured interviews, observation techniques and a self-administered questionnaire.

As noted earlier on, the combination of data collection techniques constituted triangulation or multiple operationalism. For the present research, use was made of a questionnaire, an interview schedule and an observation schedule as instruments or tools. The data collection exercise took place between November 2008 and July 2009. These instruments are now discussed one by one and they can be viewed at Appendices 6 (the observation checklist), 7 (the interview schedule) and 8 (the questionnaire).

4.4.1 Questionnaire

Wolf (1997:422; Kumar 1996:110; Frazer and Lawley 2000:4; Gray 2004:187) defined a questionnaire as a self-report instrument used for gathering information about variables of interest to investigators. It consists of a number of questions or items on paper that a respondent reads and answers. Leedy (1989:142) noted that the questionnaire is a commonplace instrument for observing data beyond the physical reach of the observer. Powell (1997:91) and Pickard (2007:183) posited that a questionnaire permits wider geographical contacts and facilitates the collection of large amounts of data and information in a relatively short period of time. In view of the above, the entire population identified for the present study was investigated through completing a self-administered questionnaire.

For this reason, and in view of the elements enumerated above, it was evident that a questionnaire would be the most suitable instrument to use in this study, considering the geographical dispersal of the targeted population, and its literacy levels (in terms of their archival expertise) which was in tandem with one of the positive aspects of this instrument. A questionnaire was used as the data collection instrument for archivists, manuscript librarians and heads of archival institutions housing liberation struggle archives (Refer to Table 1 and Appendix 8). The questionnaire was adapted from previous

studies. The importance of borrowing questions from other research studies was noted by Punch (2003:32) and Majumdar (2008:244). Czaja and Blair (2005:20) remarked as follows and are quoted profusely:

When putting together initial drafts of our questionnaire, borrowing questions from other research studies is acceptable, even encouraged. While we are reviewing past studies with the same or similar research problems, we take notes on how the researchers defined their concepts and the questions they used to measure those concepts. When we agree with what they did, we are free to use the same wording, unless they copyrighted the questions or scales. If we agree with parts of what they did, we use the parts we agree with and then add our own ideas and wording. Using someone else's questions has another advantage: by asking the same questions, we can compare the results in our survey area with the results of the previous research.

Fittingly, a number of studies used surveys to measure the variables, concepts and phenomena of interest. Seton (1984) used a questionnaire to gather data with regard to the acquisition, preservation, arrangement, description and access to the principal categories of private archives. Mazikana (1995) and Ngulube (2003) used questionnaires to collect data on the preservation of archival collections. Tafor (2001) and Chinyemba (2003) also used questionnaires to collect data on the management of records within ESARBICA and at the University of KwaZulu-Natal respectively. Garaba (2004) used a questionnaire to collect data on the appraisal methodologies in use within ESARBICA. Kemoni (2007) explored existing policies and practices for managing records in public institutions in Kenya through use of questionnaires, whilst Abankwah (2008) investigated the management of audio-visual materials (AV) in the ESARBICA region using questionnaires and an observation schedule.

Questionnaires exist in different formats. They can either be self-administered, online, postal or mail-based, interviewer-administered, telephonic or interview schedules (Czaja and Blair 2005:36). The most popularly used are self-administered and interviewer-administered questionnaires. Self-administered questionnaires include online questionnaires, postal questionnaires and delivery and collection questionnaires. Interview administered questionnaires consist of telephonic interviews and structured interviews.

The present study used a postal questionnaire and structured interviews to collect data from various respondents. The copies of the questionnaire were posted and sent by email to national archival institutions and private organizations in South Africa and Zimbabwe. Appendices Six, Seven and Eight represent the observation checklist, interview schedule and the questionnaire respectively.

In line with the study's objectives the questionnaire included questions on the following topics:

establishing the location, custody, volume, composition, condition and management of liberation struggle archives;

- i. examining infrastructure issues comprising policies, procedures and resources for their management;
- ii. assessing the physical security of these records to ensure their long-term preservation;
- iii. conducting preservation needs assessment;
- iv. investigating the role of ICTs in the provision of new opportunities for the management of liberation struggle records;
- v. assessing the role of national and private archival institutions in managing these records and establishing the existing relationships between them and Government or political parties; and

- vi. suggesting a model that may address records and archives issues in the management of the records.

4.4.1.1 Questionnaire layout

The layout and design of the questionnaire has a direct bearing on response rates and on the reliability of measures (Robbins 2008:264; Chilisa and Preece 2005:111). An important step in questionnaire design is to minimize error so as to ensure the validity of the study (Chilisa and Preece 2005:111) and this can be done by ensuring that the items in the questionnaire address the objectives of the study or provide information to answer the research questions raised in the study. As will be explored later on, the present study used the First Department of Information Science Archives Conference on exploring our cultural heritage: managing archives and records for the present and future generations held from 4-5 September 2008 at the University of South Africa (UNISA) to pilot test the survey instrument.

Other important considerations include the need for the questionnaire to be attractive and professional looking in its physical appearance. It should also be convenient to use, easy to follow and read. Questionnaires were thus printed on white paper and the title of the survey placed at the top followed by simple, yet explicit instructions. The necessary instructions were provided throughout the questionnaire and the whole idea was to improve respondent motivation by making this instrument as user-friendly as possible.

As regards introducing the study and the researcher to the participants/respondents, Miller and Cannell (1997:367) opined that the legitimacy of the research is established by official documents, letters on appropriate stationery, use of university name and the like. Dillman (2007:149; Chilisa and Preece 2005:111) further stated that multiple contacts both between the researcher and the respondents and between the researcher and others of relevance in the field, the contents of letters, appearance of envelopes, incentives (motivations for taking part), personalization, sponsorship and how it is explained (who is financially

backing the study and why) and other attributes of the communication process have a significant collective responsibility for influencing response rates.

The present researcher took note of these issues as this was a prerequisite in validating the measurement device. For instance, the covering letter described the project in order to legitimize the research. It emphasized the importance of the research and how the information was going to be used. Considering that research has shown that multiple contacts have a significant bearing on increasing response to surveys, the researcher had to establish prior contacts with practitioners in the field namely archivists, records managers, information officers and academics. One platform that the present researcher made optimum usage of was the First Department of Information Science Archives Conference on exploring our cultural heritage: managing archives and records for the present and future generations held from 4-5 September 2008 at the University of South Africa (UNISA) at which he was a delegate.

Turning to the questionnaire itself, a number of authorities (Rothwell 1996:74; Vyhmeister 2001:132; O'Sullivan, Rassel and Berner 2003; Punch 2003:35; Chilisa and Preece 2005:112; Majumdar 2008:246) are agreed on the need to "keep it simple and short" (KISS) when designing questionnaires. Rothwell (1996:74) indicated that another constraint on the length of the questionnaire is the need not to make it so long as to deter the respondent from starting to work on it. O'Sullivan, Rassel and Berner (2003:186) rightly pointed out that if a survey questionnaire is too long, respondents with a busy schedule are likely to ignore or skip questions.

In addition, tired or bored respondents are likely to provide unreliable answers. Vyhmeister (2001:132) reinforced this view and observed that the chances of a questionnaire being thrown in the waste basket increase in direct proportion to its length and complexity. Punch (2003:35) echoed similar sentiments and observed that shorter questionnaires tend to have a higher

response rate and yield more valid response. Chilisa and Preece (2005:112) observed that long questionnaires get lower response rates which in turn introduce error in the survey. This view was also strongly defended by Majumdar (2008:246) who posited that often the length of a survey questionnaire influences the response rate and quality of data. De leeuw (2008:314) contended that response to surveys has been decreasing over the years. This is due to an increase in non-contacts, which are failures to respond and partly due to an increase in refusals to take part.

The survey questionnaire employed for the present study took note of these remarks and the design of the questionnaire was thus informed by confining itself strictly to what the research sought to find out, avoiding any irrelevant questions. Admittedly, the questionnaire used for the present study was extremely long but the reason was to ensure content validity. The idea was to maximize comprehensiveness and as stated by Bless, Higson-Smith and Kagee (2006:156-57), when one or more components in the study of phenomena is neglected, the researcher cannot really claim to be measuring whatever it is that s/he is interested in.

The questionnaire used in this current study included 108 items (Refer to Appendix Eight) and it took note of the Tailor Design Method (TDM), propounded by Dillman (2007), to reduce the error associated with non-response and other factors. Dillman (2007:15-17) suggested that survey response can be maximised by the following:

- i. establishing the respondent's trust;
- ii. increasing the expected rewards of participation; and
- iii. reducing the social costs of participation.

In addition, other specific strategies noted by Dillman (2007:15-19) like pre-notification, personalized cover letters, the use of reminders, stamped, self-addressed envelopes for the return of mail surveys were religiously adhered to by the present study.

4.4.1.2 Mail questionnaires - pros and cons

Mail surveys involve sending a brief pre-notice letter and then a detailed cover letter and questionnaire to a specific person or address (Dillman 2007:15). According to Czaja and Blair (2005:36), Pickard (2007:184-185), and Chilisa and Preece (2005:11), the detailed cover letter should state the purpose of the survey, who is collecting data, who is to complete the questionnaire and why a response is important, an assurance of confidentiality and when and how to return the questionnaire.

Mail surveys require a questionnaire that is totally explanatory (Majumdar 2008:247) and the importance of clear and simple statements cannot be overstated because instructions and questions must be uniformly understood by a wide variety of respondents. It follows that if respondents do not understand the questions or if answering the survey is too time consuming, they are most unlikely to return the survey, or to respond accurately.

A number of advantages are attributed to mail surveys and these include (Powell and Connaway 2004:125; Czaja and Blair 2005:36-38):

- i. the mail questionnaire tends to include frank answers. This is in large part due to the fact that it is easier for the researcher to guarantee anonymity for the respondent when using a mail questionnaire;
- ii. the fixed format of the questionnaire tends to eliminate variation in the questioning process and hence act as a safeguard against bias. Once the questions have been written in their final version and included in the questionnaire, their contents and organization will not change;
- iii. the manner in which the questionnaire is distributed and responded to also allows it to be completed, within limits, at the leisure of the participants. This encourages well thought out and accurate answers;
- iv. questionnaires can facilitate the collection of large amounts of data in a relatively short period of time;
- v. questionnaires are usually relatively inexpensive to administer.

In spite of their popularity as a data collection method, mail surveys have drawbacks to which attention is drawn to (Powell and Connaway 2004:125-126):

- i. use of the mail questionnaire eliminates personal contact between the researcher and the respondent. The lack of opportunity to talk to directly to respondents was noted by Foddy (1993:8) who remarked that strange as it may seem, the apparent biggest attraction of a questionnaire is also one of the greatest limitations of the instrument. However, this can also be seen as an advantage, for as stated earlier, the absence of direct contact eliminates interviewer bias from the questioning process;
- ii. the mail questionnaire does not permit the respondent to qualify answers to ambiguous questions;
- iii. questionnaires are more appropriate for the literate which results in a biased return;
- iv. non-response rates are relatively high for mail, email and web-based questionnaires; and
- v. if the questionnaire is distributed electronically, it will reach only those who have access to and are comfortable using email technology.

In spite of these drawbacks, Dillman (2007:245) asserted that mail surveys remain the widely used in survey research because they are least expensive and are popular with researchers. It has also been noted by Dillman (2007:244) that the method of survey administration is one of the key determinants of response rates.

4.4.2 Interviews

Closely allied to the questionnaire is the structured interview schedule and interviews are one method by which phenomenon can be studied (Ngulube 2003:222). Keats (1997:306) and Moser and Kalton (1971:271) defined an interview as a controlled conversation in which the interviewer obtains information from the respondent. Interviews can be structured or

unstructured and in the structured interview, used for this study, the researcher strictly adheres to a script or interview schedule (Allison 1996:25; Ngulube 2003:223). Seale (1998:202) observed that:

The interview is probably the most commonly used method in social research. It is more economical than observational methods since the interviewee can report on a wide range of situations that s/he has observed so acting as the eyes and ears of the researcher. The researcher can also use an interview to find out about things that cannot be seen or heard, such as the interviewee's inner state – the reasoning behind their actions and their feelings.

To facilitate the interviewing process, data was collected from archives personnel with the aid of a self-administered questionnaire, an observation checklist and a scheduled structured interview, based on the established questionnaire to gather information in national and private archival institutions about former national liberation movements' records in east and southern Africa (Refer to Table 1 and Appendices Six, Seven & Eight). The data collection process was spread over a nine month period commencing in November 2008 to July 2009. Structured interviewing (Fontana and Frey 1994:363) refers to a situation in which an interviewer asks each respondent a series of pre-established questions with a limited set of response categories. In this regard, directors, archivists and manuscript librarians of archival institutions were interviewed. According to Pickard (2007:175), structured interviewing is referred to as the "researcher administered questionnaire" as it is highly structured and follows many of the same guidelines as the questionnaire. Questions asked were both open, meaning that responses were not restricted to yes/no type answers and close ended, meaning that responses were limited to yes/no and to multiple-choice type answers.

The present study thus used interviews to supplement the data gathered from the questionnaire. Like questionnaires, interviews generate data that is standardized, amenable to statistical treatment and that can be generalized. If triangulated with other methods as was with the present research, they have specific uses (Marsh 2004:173) as is elaborated below.

Miller and Cannell (1997:362) and Kvale (1996:5) observed that the gift of language permits information to be gathered from fellow humans by asking questions in surveys and it is conceivable to believe that their answers reflect the actual conditions of their lives. To extract the data, there is usually a conversation that takes the form of a series of questions asked by the interviewer of the respondent. Thus an interview is a question and answer session which is recorded in some way (Allison 1996:25; Rice, Saunders and O'Sullivan 1996:100).

The use of structured interviews has been documented extensively (Connaway and Powell 2004:147; Bless, Higson-Smith and Kagee 2006:119; Moser and Kalton 1971:270; Fowler 2002:117) and authorities are agreed that their aim is mainly to determine the frequency of various answers and to find relationships between answers to different questions. There are two advantages that are synonymous with structured interviews. Firstly, they help overcome misunderstandings and misinterpretations of words or questions. This is facilitated because, in case of doubt, the interviewer can ensure that respondents correctly understand the questions. Secondly, through interaction, more relevant information can be gleaned from respondents. Thus it was the responsibility of the present researcher, through interviewing as a follow-up to the dispatched self-administered questionnaire, to ensure that all items on the questionnaire were considered and that respondents did not omit difficult questions. This latter fact reinforces the notion that interviews allow greater flexibility during the interviewing process as the interviewer is in control and keeps the focus of answers on the purposes of the research.

However, one inherent disadvantage of interviewing is that of cost in terms of time and money. Interviewing demands extensive travelling to reach respondents and this constraint resulted in a small interview sample for this study. The present study focused its research on archival institutions within east and southern Africa but due to the prohibitive costs and time, the questionnaire was found most appropriate as the study population was geographically dispersed. Seal and Filmer (1998:128), Kumar (1996:114-116) and Rothwell (1996:69) correctly noted that questionnaires are especially useful in surveying people who are dispersed over a wide geographical area, where the travelling demands on an interviewer would be excessive and difficult. As a result, not all archival institutions within the east and southern Africa region could be visited which explains why observation and structured interviews were conducted in Namibia, Tanzania, Zambia, South Africa and Zimbabwe (Refer to Appendix 9).

4.4.3 Observations

Observation takes place when things are actually happening and thus gets you closer to the phenomenon under study (Terre Blanche and Kelly 1999: 134). Powell and Connaway (2004:157), Gray (2004:239) and Pickard (2007:201) opined that to observe means to watch attentively in a scientific or systematic manner. Observation involves the recording of events or circumstances in which a researcher is present (Allison 1996:26). In an observational study (Powell and Connaway 2004:157), the current status of phenomenon is determined, not by asking, but by observing. According to Moser and Kalton (1971:245; Foster 2006:59), the distinguishing feature of observation in the extended sense is that the information required is obtained directly, rather than through the reports of others; in the case of behaviour one finds out what the individual does, rather than what s/he says that s/he does.

Two types of observations common in qualitative research are simple observation (non-participant observation), whereby researcher remains an outside observer and participant observation whereby the researcher

becomes a member of the group s/he is studying. One of the greatest advantages of observation is that you can do it anywhere and the flexibility of the technique remains enticing (Leedy and Ormorod 2001:158). Other important advantages include the following (Babbie and Mouton 2001:294; Powell and Connaway 2004:157-158; Foster 2006:59-60):

- i. the use of observation makes it possible to record behaviour as it occurs;
- ii. observation allows one to compare what people actually did with what they said they did. Participants in a study may consciously or unconsciously report their behaviour as different that it in fact occurred; the observed behaviour may be more valid;
- iii. observational techniques can identify behaviour and actions that people may not think to report because they seem unimportant or irrelevant; and
- iv. with observational techniques, a researcher can study subjects who are unable to give verbal reports.

In consequence, observation schedules or checklists were drawn to aid observation and its recording. A checklist is a list of behaviours, characteristics or other entities that a researcher is looking for (Leedy and Ormorod 2001:197). The observation schedule was administered to selected archival institutions between November 2008 and July 2009 and the list of archival institutions visited for the observation exercise is indicated in Appendix Nine. The present researcher checked whether each item on the list was observed, present or true or else not observed. The observational issues that hogged the limelight pertained to record groups, filing, storage, access and use and so on. Appendix Six captures the issues that were under scrutiny.

To safeguard ethical and legal implications, advance notification of the intended observation was made. The present study employed simple or non-

participant observation. To record the observation, the study used narration and notes were taken as the observation was made. Observation helped to supplement data captured by questionnaires and interviews. However, observational techniques do suffer from major limitations and important ones include the following (Powell and Connaway 2004:157; Foster 2006: 59):

- i. not only is it costly and time-consuming, but it cannot be applied to many aspects of social life. One cannot directly observe attitudes or beliefs for example. This reinforces the view that some types of behaviour are obviously too private or personal in nature to be observed as with human sexual behaviour, for example;
- ii. interviewer bias is prevalent due to the subjectivity of the observer. It should therefore be emphasized that observations can never provide us with a direct representation of reality; and
- iii. people may, consciously or unconsciously, change the way they behave because they are being observed and therefore observational accounts of their behaviour may be inaccurate representations of how they behave 'naturally', which factors in reactivity problems.

From the foregoing, it is discernible that each survey instrument has its strength and weaknesses and hence there is need to strike a balance or engage in tradeoffs in order to extract data that accurately reflects the phenomenon under study. This point was concretely indicated by Chilisa and Preece (2005:184) who noted that researchers often use more than one research instrument to enhance the validity of their findings. One technique enables the researcher to get information that is not otherwise available using the other method. In other words, using triangulation enables one to reinforce, complement or cross-check data findings for credibility purposes (Chilisa and Preece 2005:181).

4.5 VALIDITY AND RELIABILITY

Ngulube (2003:203) observed that gauging the accuracy of the survey tools employed to collect data about a phenomenon depends upon determining the reliability and validity of the survey instruments. Visser, Krosnick and Lavrakas (2000:237) agreed with the aforementioned and asserted that every researcher's goal is to maximize the reliability and validity – the two are indicators of data quality - of the data s/he collects. On a similar note, Neuman (2000:164) indicated that the two ideas are important in establishing the truthfulness, credibility or believability of findings. In other words, once a researcher has identified the constructs or variables for his/her study (Bless, Higson-Smith and Kagee 2006:149), these need to be operationalized so that they can be measured.

It follows that “political correctness” in research is achieved by adopting an interactive research strategy that combines quantitative and qualitative approaches. Reliability is a necessary precondition of validity or put other way round it is secondary (Neuman 2000:171-172; Giannatasio 2008:112) and it follows that this companionship is difficult to separate – to establish that isomorphism between reality and observation one needs therefore to focus on the definition of the problem, that is, what is known and what needs to be known about the phenomenon (Zeller 1997:828).

The debate on these two symbiotic terms in research discourse is wide ranging and it all depends as with which research method one's loyalty lies (Zeller 1997:827). Indeed researchers are comfortable operating in their own area of methodological expertise, but are vulnerable outside that area. For the qualitative researcher, validity is characterized as “pressing the flesh”, for survey researchers it is characterized as “chasing the decimal point” whereas for experimentalists it appeals to the truth or falsity of causal propositions to “produce the effect”.

It is against this informed background that Zeller (1997:827) defined validity as:

--- when pressing the flesh, chasing the decimal point and producing the effect all provide the same meaning about the nature of the phenomenon.

Simply put, the point Zeller (1997) was driving home was that researchers should consider widening their methodological repertoire in their efforts to resolve the many research problems they encounter (Powell 1999:113) hence the consensus that conducting valid research from the perspective of a single methodological approach is scandalous. Validity then is qualified if a measure measures what it is intended to measure (Fink 1995:49; Oppenheim 2004:97) whereas reliability is the degree of repeatability or consistency in empirical measurements (Fink 1995:46; Kumar 1996:138; Ginnatasio 2008:111). It follows then that research findings are considered reliable if they are repeatable (Ngulube 2003:204) and valid if they answer what they set out to answer.

The fourfold drivers of validity are content, construct, criterion and face validity. Content validity tests the relevance of the content of the test to the characteristic being measured (Kumar 1996:155) - in the case of this study, how relevant and comprehensive are the questions posed to respondents with regard to the topic of the research itself? Pretesting was thus used as a tool for content validation. In addition, units of analysis were not sampled due to the census approach adopted for the study and more importantly, questions covered in the research instruments had that comprehensiveness as they touched on all aspects that comprised an archives management programme. According to Bless, Higson-Smith and Kagee (2006:157), if a researcher can show that an instrument measures all the various components of the variable in question, s/he can be confident that the instrument has high content validity.

Construct validity links the items in the measuring instruments, in this case for example the answers in the questionnaire, to the theoretical components of the research topic, which in the context of the present research was

premised on the records continuum model. In other words, it is important that a measurement technique be closely linked with known theory in the area and with other related concepts. Where such close links can be demonstrated, the instrument is said to have high construct validity (Bless, Higson-Smith and Kagee 2006:159).

Criterion validity compares instruments of measurement to those published in the literature. In this instance, the questionnaire used for the present study was comparatively benchmarked with those of Seton (1984), Ngulube (2003), Abankwah (2008), while the observation checklist was compared with that used by Kemoni (2007).

Face validity refers to how a measure appears on the surface and the way the instrument is perceived acts as the determining factor in terms of its validity. That the questionnaire for the present study, for instance, was informed by the need to extract data on the management of records and archives by public and private organizations of former national liberation movements, was deliberately made as clear as possible in terms of its content. According to Bless, Higson-Smith and Kagee (2006:160), one method of judging face validity is to ensure that the instrument is tailored to the needs of the subjects to whom it is intended or as noted by Kumar (1996:138), that there has to be a logical link between the questions and the objectives of the study.

In conformity with this view, the legitimacy of the research was established by ensuring an end product that had that professional appeal in order to be seductive. In addition, the assessment of face validity may be helped by asking people with practical or professional knowledge of the area to assess how well the questions indicate the concept (Seal and Filmer 1998:134).

In short, face validity involves judgement by the scientific community that the indicator really measures the construct (Neuman 2000:168). Thus a sequence of questions designed to indicate records and archives management practices needed to be assessed by a group of records managers, archivists or

academics in the field. Section 4.5 on pre-testing explains how the validation exercise was conducted.

Turning now to discuss reliability, according to Bless, Higson-Smith and Kagee (2006:47), research requires that one be able to measure concepts and constructs as represented by variables which often are translated into, or operationally defined as, a set of categories or a scale. Unfortunately, however, virtually all measurement is imperfect. Thus reliability can be defined as the degree to which an instrument accurately and consistently measures whatever it measures. Conversely, if a question obtains a different answer from a person each time it is asked, then it is said to lack reliability in terms of being a research tool (Seal and Filmer 1998:135). In other words, reliability is the indispensable attribute of consistency (Oppenheim 2004:97). In short, a reliable data collection instrument is one that is relatively free from measurement error.

To reduce the magnitude of error, it was therefore necessary to design questionnaires, interview schedules and an observation checklist that captured survey data accurately. Furthermore, the wording in terms of instructions had to be explicit to remove any element of doubt and the pre-testing exercise actually improved the reliability of research instruments. The impetus for this exercise was also governed by the need for standardization and as Giannatasio (2008:109) noted, if one understands validity and is able to conceptualize its distinction from reliability, the research design will be stronger, sounder and ultimately more convincing.

4.6 PRETESTING OF RESEARCH INSTRUMENTS

Pretesting, which is like a dress rehearsal before opening night (Cjar and Blair 2005:20), is one of the most important components of a survey. Fowler (2002:112) correctly opined that once a survey instrument has been designed that a researcher thinks is nearly ready to be used, a field pre-test of the instrument and procedures should be done. The purpose of such pre-tests is to find out how the data collection protocols and the survey instruments work under realistic conditions.

Babbie and Mouton (2001:244) concurred and pointed out that in constructing a questionnaire for instance; there is always a possibility of an error. Thus, pre-testing the questionnaire is necessary in order to uncover any defects (Dillman 1978:155; Visser, Krosnick and Lavraks 2000:241; Ngulube 2003:215) as the quality of data from a survey depends on the questions asked. Any researcher who avoids a questionnaire pre-test is either naïve or a fool (Churchill 1992 cited in Ngulube 2003:215) and such an oversight compromises the credibility of the research output.

According to Powell (1985:104), Visser, Krosnick and Lavraks (2000:241) and Dillman (1978:155), the pre-test offers certain advantages beyond helping to refine the data collection instrument. It can permit a preliminary testing of the hypothesis, point out a variety of problems not anticipated relating to design and methodology, facilitate a practice run of the statistical procedures to be used, and perhaps even indicate that the final study may not produce any meaningful results and therefore should be rethought or abandoned.

The foregoing view was also shared by Czaja and Blair (2005:20) who succinctly noted that it is advisable to continue doing pre-testing until one feels comfortable with the questionnaire – which may require 30, 40 or 50 interviews. This is a better option than to start the main data collection, find problems and either stop the data collection to fix them (which is nearly impossible) or end up collecting interviews that have obvious measurement problems.

The pretesting is emblematic of an informal trial and error exercise but as with pilot surveys is a recognized standard practice with professional survey bodies and a number of benefits to be garnered include that the pretest can, according to Moser and Kalton (1971:49-51) and Converse and Presser (1986:54-65), indicate information about:

- i. the non-response rate to be expected. The probable numbers of refusals and non-contacts can be roughly estimated and the

- effectiveness of various ways of reducing non-response can be compared;
- ii. the suitability of the method of collecting data;
 - iii. the adequacy of the questionnaire. This constitutes the most valuable function of the exercise. Points that will need to be watched include the ease of handling the questionnaire in the field, the efficiency of its layout, the clarity of definitions and the adequacy of the questions themselves. There will also be need to ensure that the wording is simple, clear, unambiguous and free from technical terms; and
 - iv. the efficiency of the instructions and the probable cost and duration of the main survey and of its various stages.

In view of the foregoing, the present study made full utilization of the First Department of Information Science Archives Conference on exploring our cultural heritage: managing archives and records for the present and future generations held from 4-5 September 2008 at the University of South Africa (UNISA). It was at this conference that the research instruments were pre-tested on academics and one practitioner in the field of records and archives management.

Amongst the academics to grace this occasion were Professor Nathan Mnjama from the University of Botswana, Professor Thomas van der Walt, UNISA, Professor Karen Harris from University of Pretoria Archives, Dr. Henry Kemoni from Moi University, Kenya, Dr. Ruth Abankwah, from College of Business studies, Botswana, Dr Constant Okello-Obura, Makerere University, Uganda, Dr Bosire Onyancha, UNISA, Dr Mabel Minishi-Majanja, UNISA, Dr Segomotso Keakopa, University of Botswana, and Mr Verne Harris, the Nelson Mandela Foundation archivist.

The pre-testing exercise also included archivists at the National Archives of Zimbabwe, Alan Paton Centre and the University of KwaZulu-Natal Archives. The pre-test letter and the introduction letter from the Information Studies Programme of UKZN, the institution under the auspices of which the

researcher was undertaking the study, can be viewed in Appendix Three and Four respectively. Some of the questions that required respondents' views pertained to the presence of typographical errors, spelling errors, whether the vocabulary employed was appropriate for the targeted population, whether the topics dealt with in the instruments adequately covered the study objectives and the clarity of the questionnaires. Provision was thus made on how best to improve the quality of the instrument.

4.7 DATA COLLECTION PROCEDURES

A questionnaire, an interview schedule and an observation checklist were the instruments used for data collection. The data collection exercise commenced in November 2008 to July 2009. An introductory letter was obtained from the primary supervisor to legitimize the research process (Refer to Appendix Four). Advance notification for the pending visit was facilitated via email and telephone communication. The researcher personally administered the interview schedule during site visits to the Director at the National Archives of Namibia, Assistant Directors at the National Archives of Tanzania and Zambia, the Chief Archivist Research at the National Archives of Zimbabwe, the Digital Archivists at SPARC, the Information Officer at ZANU PF, the Manuscript Librarian at Alan Paton Centre and the Project Manager at DISA.

Additional interviews with Directors of archival institutions at the 20th ESARBICA conference held in Windhoek, Namibia from 1-3 July 2009 assisted in the data collection exercise. During the thirty minutes and forty-five minutes interview sessions, the aim, objectives and significance of the study were first spelt out before the researcher proceeded to capture the data under the interview protocol. To validate the reliability of the data gathered, a questionnaire was also administered and left for completion by the archives personnel. The use of an observation checklist at selected archival institutions assisted in supplementing the data gathered from the questionnaire and the interview schedule (Refer to Table 1 and Appendices Six, Seven, Eight & Nine).

4.8 PROBLEMS ENCOUNTERED IN DATA COLLECTION

A plethora of problems confronted the researcher during the data collection exercise. The most pertinent was the issue of access as the records under study were politically charged material notwithstanding the fact that the researcher was in possession of a letter of authority legitimizing the research. A visit to Tanzania National Archives for instance revealed that the records in question were in the custody of the Tanzanian Defence Forces and access was thus denied. The Assistant Director at the archival institution promised to complete the questionnaire on the researcher's behalf after consultation with the Tanzanian Defence Forces.

Such an arrangement whilst beyond the control of the researcher compromised the reliability of the data gathered. Ultimately the questionnaire was never returned which confirms the view that this case constituted an outright refusal to respond. This failure to respond was not the only case noted (See Appendix Nine), in spite of several written and verbal reminders to the institutions concerned to co-operate with the researcher.

Another example of a problem encountered was that a visit to Morogoro (Tanzania), where the African National Congress of South Africa's Solomon Mahlangu Freedom College (SOMAFCO) was located, revealed that the records under investigation had since been repatriated to the University of Fort Hare, South Africa. A physical examination of the records remaining at SOMAFCO through use of an observation schedule revealed printed material in the form of brochures, bulletins, journals, resolutions and reports.

Because the data collection exercise commenced during the festive season, many of the institutions under investigation were short staffed or closed for the year. Despite these obstacles, the researcher managed to get an insight into the nature of the problem under investigation during his endeavour to extract credible data for analysis.

4.9 DATA ANALYSIS

Mouton (1996:161) indicated that the term analysis basically means the resolution of a complex whole into parts and involves two steps:

- i. reducing to manageable proportions the wealth of data that one has collected or is available; and
- ii. identifying patterns and themes in the data.

Data is the basic material with which researchers work. Data can take the form of numbers (numeric or quantitative data) or language (qualitative data) and to draw conclusions from a research study, as discussed above, it is essential that the research has sound, reliable and valid data to analyze and interpret (Durrheim 2006a:51). The first stage of data analysis is a preparatory stage where raw data are transformed into an electronic format using a computer spreadsheet.

Raw data is unordered, contain errors and missing values and must be transformed into an ordered error-free data set before they can be analyzed. Preparing the data involves three tasks namely coding, entering and cleaning (Durrheim 2006b:189). The coding of data involves turning the information one has into numbers for statistical (quantitative) analysis or developing specific categories from the written data or observations in preparation for a qualitative analysis (Dolowitz, Buckler and Sweeney 2008:146).

Data was analyzed using SPSS, a statistical package which offers researchers flexible and powerful tools for better, simpler research. The advantages of SPSS include (Pickard 2005:278) that it:

- i. reduces the time required to analyze data;
- ii. reduces the errors involved in coding data;
- iii. thoroughly analyses data with in-depth statistics and charts; and
- iv. present results clearly with flexible reports and charts.

Qualitative data was content analyzed. A content analysis of open-ended questions from questionnaires and interviews and textual data from reports was conducted. As a research method, content analysis is applied in qualitative, quantitative and sometimes mixed modes of research frameworks and employs a wide range of analytical techniques to generate findings and put them into context (White and Marsh 2006:22). The research method is flexible and can be applied to many problems in information studies, either as a method by itself or in conjunction with other methods (White and Marsh 2006: 23).

Traditionally, content analysis is usually divided into two categories, namely conceptual analysis and relational analysis (Babbie and Mouton 2001:492). Conceptual (thematic) analysis involves establishing the existence and frequency of concepts usually represented by words or phrases in a text. In contrast relational (semantic) analysis examines the relationships among concepts in a text (Colorado State University 2007). The present study used both thematic (for example the recurring theme of a lack of ITC expertise) and semantic (such as the relationship between this lack and archival preservation problems) analyzes. Thus both recurring and related concepts represented by words and phrases in the legislative instruments of the surveyed institutions were examined in search of meaning.

4.10 ETHICAL ISSUES

The ethical guidelines outlined in Chapter One, Section 1.6 guided the present study. Informed consent was achieved by giving subjects accurate and complete information as to the nature and purpose of the study and the part that the subject would play in it. Questionnaires were thus accompanied by letters of informed consent to realize this objective (Refer to Appendix Two). The study conformed to the University of KwaZulu-Natal's policy on research ethics (UKZN research ethics policy 2009).

4.11 EVALUATION OF RESEARCH METHODOLOGY

Evaluation in its more general sense means the general process of weighing or assessing the value of something (Suchman 1967:7). Davidson (2005:1) cited Scriven (1991) who pointed out that professional evaluation is defined as the systematic determination of the quality or value of something. In the context of the present study, evaluation meant that the present investigator had to establish criteria for judging the adequacy of the procedures used to gather the data.

It is readily acknowledged that research methods have weaknesses as well as potentials (Ngulube 2003:235; Bryman 2008:602-626). Stilwell (2006:3) has pointed out that an understanding of the combination of approaches used in the research contributes to its logic and coherence. In addition, as noted by Mathison (1988:17), the use of triangulation enhances the quality of data and its plausibility. The use of more than one method in collecting data for the present study was largely because of the need to enhance the validity and reliability of the results.

Within the general use of triangulation, the methodology of the descriptive approach and the exploratory approach were used. This methodological choice was largely influenced by the purpose of the research which, *inter alia*, was to, examine whether a continuum of care was being administered to these records and to identify their location. This focus constituted descriptive research, hence the adoption of the survey approach as the research sought to examine patterns or relationships at play and established practices, beliefs and attitudes within these former national liberation movements in as far as records keeping was concerned. It was also the aim of the present research to pinpoint the salient features of archival administration and thereby to make recommendations regarding the archives of the former national liberation movements under discussion. Thus the exploratory approach, which examines new areas of research, was adopted for the study as well.

To reach its conclusions, both qualitative (number-based) and qualitative (text based) data was used. As indicated earlier on, researchers contend that

both quantitative and qualitative approaches have advantages and drawbacks. Briedenhann and Wickens (2005:88; Jick 1979:602) observed that it is no longer uncommon for researchers to use a plurality of methods – a hybrid approach combining qualitative and quantitative methods of data collection with a view of minimizing the weaknesses of a single approach. Briedenhann and Wickens (2005:88; Jick 1979:602; Creswell 1994:177; Stilwell 2006:3) further remarked that the collection of data from multiple sources through use of a variety of data collection methods, allows for a more complete representation of the problem under interrogation. The general consensus from the literature, as noted at various points in this study, is the desirability of mixing methods given the strengths and weaknesses found in single method designs.

As further postulated by Carvalho and White (1997; cited in Holland and Campbell 2005:21; Pyrczak 2005:86-87) methodologies have to be integrated for better measurement which explains why interviews and observation methods had to be used in conjunction with questionnaires to collect data for the study. This multi-strategy or triangulation (Mathison 1988:13; Bryman 2008b:15; Hammersley 2008:23;31-32), improves the validity of research through use of a variety of methods. To reiterate, the underlying assumption is that any bias inherent in particular data sources, investigator and method would be cancelled out when used in conjunction with other sources, investigators and methods (Jick 1979:604; Mathison 1988:14).

In adopting the methodological choice suited for the present study, the researcher took note of the following points as pointed out by Briedenhann and Wickens (2005:86-87; Jick 1979:608; Layder 1993:107):

- i. easy comprehension of the data so collected which enables the researcher to garner confidence;
- ii. the credibility of that data in the eyes of the audience who will receive and utilize the results;

- iii. the evaluation design to be flexible and responsive enough to facilitate change or redirection to avoid procedures which impose inhibiting controls – ingenuity is thus facilitated;
- iv. the credibility of the results emanating from the methods selected; and
- v. the resources at the researcher's disposal (funding, time, equipment and assistance).

Despite this, a number of problems confronted the researcher as spelt out in Section 4.8. The major handicap experienced was the failure or refusal by the targeted respondents to return the questionnaire as is indicated in Appendix 9.

In conclusion as regards the research methodology evaluation process, the research design was shaped by the nature of the problem under scrutiny vis-à-vis the instruments, conceptual framework, and the time and resources available for the project. It can be argued generally that research should take cognizance of the fact that interviewing provides more reliable and verifiable data than do questionnaires, as the former facilitates an opportunity for clarification of issues from respondents, unlike the latter. It hardly needs further emphasis, but is further noted that the use of triangulation instills confidence in the overall research process.

Given the opportunity to conduct the same study again, the present researcher would focus more on interviewing and observations as this would enable the researcher to capture events as they unfold. Unlike questionnaires in the present research which proved to be unreliable in view of the low response rate, interviews and observations would provide credible data. The present researcher was not able for instance to visit all countries in the region and in effect this meant that results from the data collected using questionnaires, interviews and observations could not be generalized to the entire region. It remains a fact that had interviews and observations been conducted in the entire ESARBICA region (fourteen countries) this would have yielded better results. Despite these limitations, the study has yielded very

interesting findings which are worth of consideration by key stakeholders in the ESARBICA region.

4.12 SUMMARY

This chapter focused on the research design employed for the study with the sole aim of addressing the research questions which guided the investigation. The methods and techniques used to gather data on the management of records and archives of former national liberation movements were thus outlined. A multi-strategy approach was adopted through use of questionnaires, interview schedules and an observation schedule. This integrative approach was justified, considering the virginity of the research area and in view of the need to validate the reliability of the research findings. The combined operations approach encouraged the maximum utilization of the data at the disposal of the researcher by producing greater density insight into the coverage area. In consequence, the congruency of data sources and methods confirmed the validity of results and reinforced the view that that the data collection exercise was not a methodological artifact. The need to address the fundamentals of research ethics in any research endeavour was also highlighted.

CHAPTER FIVE: DATA PRESENTATION

5.0 INTRODUCTION

The purpose of this chapter was to analyze the data obtained from the population of the study. In other words, the empirical findings of the study are showcased in an attempt to answer the research questions. The data presented in this chapter was extracted from a questionnaire, and interview schedule and an observation schedule that were administered to senior staff at the archival institutions under investigation. The purpose of this study was to identify the location of the archives of national liberation movements in east and southern Africa and ascertain whether liberation struggle records are being managed throughout their lifecycle.

5.1 RESPONSE RATE

As mentioned in preceding sections, a problem encountered during the data gathering process was that the survey population for the present study was smaller than planned as some units of analysis did not respond despite adequate follow up procedures (See Section 4.8 and Appendix Nine). This low rate of response, however, was compensated for by the depth of data collection and analysis and 'thickness' of reporting. Burkell (2003:241) observed that survey non-response refers to the discrepancy between the group approached to complete a survey and those who eventually provide data. Singleton and Straits (2005:185) and McCarty (2003:396) posited that a low response rate may jeopardize the representativeness of a survey and therefore its generalizability to a large population.

On the other hand, Majumdar (2008:249) and Burkell (2003:240) mentioned that in a survey, some non-response is inevitable and in such circumstances, the researcher has to accept the low response rate (Krosnick 1999:537). In other words, survey non-response is a ubiquitous problem. Krosnick (1999:541) further remarked that the prevailing wisdom that high response rates are necessary for sample representativeness is being challenged.

The issue of an acceptable response rate is thus a contested terrain in the social sciences and according to Babbie (1998:182), a response rate of at

least fifty percent is often considered adequate for analysis and reporting. Majumdar (2008:250-51) thus pointed out that a low response rate does not necessarily indicate that the results are inaccurate and this foundation provided the departure point for the present study from a validity perspective. Out of the projected twenty-three units of analysis, nine responses (39%) were received (See Appendix Nine and Section 4.8) and the resultant findings were not generalized to the larger population.

The focus now turns to the presentation of the data gathered in this study. The data obtained quantitatively from questionnaires was presented graphically. Kumar (2005:248) posited that tables are the most common method of presenting analyzed data. In addition, Neuman (2003: 313) and (Ngulube 2003:240) observed that the whole point of tables and charts is to present data in an organized and condensed fashion that makes them easier to understand and interpret. In a nutshell, as noted by Marvasti (2008:604) and (Callahan 2008:924), statistical figures, charts and tables have become the visual centre-pieces of numerical data. Sapsford (2006:184) and (Kumar 2005:248) echoed similar sentiments and noted that the art of presenting numerical data lies in giving the figures that will convey the desired information in an easily readable form. In other words, findings should have clarity and be easily understood. Kumar (2005) further posited that though there are many ways of displaying data, it is wise to keep to simple techniques.

To complement the data obtained quantitatively, interviews and observation (Refer to Appendix Nine) were used to collect supplementary data and this qualitative data was content analyzed. The data obtained from these research instruments is collated and presented collectively. Consequently, the presentation of the data adopted in this chapter follows the specific objectives of the study (see Chapter One, Section 1.3.1). The criterion for the data presentation is to clearly convey information concerning the study's aims to:

- i. establish the location, custody, volume, composition, condition and management of liberation struggle archives;

- ii. examine infrastructure issues comprising policies, procedures and resources for their management;
- iii. assess the physical security of these records to ensure their long-term preservation vis-à-vis equipment and availability of expertise;
- iv. conduct a preservation needs assessment;
- v. assess the extent of the use of digitization processes to enhance preservation and access to the records; and
- vi. assess the role of national archives in managing these records and the existing relationships between the national archives and liberation movements' archives.

In summary, it is evident that the present study's focus was on institutional practices and policies in as far as these pertained to the management of liberation struggle archives and what follows then is a presentation of the findings. The findings of the survey are thus analyzed to determine trends, needs and problems with special reference to liberation struggle archives and these findings are then also presented in statistical figures, tables and charts.

5.2 CHARACTERISTICS OF RESPONDENTS

Appendix Nine gives an overall picture of the contacts with the surveyed institutions. A total of nine institutions responded to the questionnaire as is indicated in Appendix Nine. One may conclude that the nine institutions responding were more active in the administration of liberation struggle archives than those who did not but then there might be other explanations for their non-response. To compensate for the low response rate, observation and interviews were also conducted with senior staff of nine institutions (the same institutions that responded to the questionnaire) as is shown in Appendix Nine. Accordingly, the 20th ESARBICA conference held in Windhoek, Namibia from 1-3 July 2009 provided a platform for the present researcher to interview directors of archival institutions affiliated to this regional body.

The countries represented at this international conference were as follows: Botswana, Kenya, Lesotho, Malawi, Mozambique, Namibia, Swaziland, Tanzania, Zambia, Zanzibar and Zimbabwe. Six directors of the National Archives of Botswana, Kenya, Malawi, Mozambique, Namibia and Tanzania were interviewed. The informants or respondents targeted for this project were archival administrators, especially directors or chief archivists of archival institutions as this group of professionals was considered knowledgeable, “experienced” and in one way or the other, had a voice when it came to policy formulation. In summary, the respondents were not merely individuals linked to archival institutions, but those individuals who could be considered the most representative of their institutions. As was explained above, data was obtained from them using a questionnaire, an interview schedule and observation.

5.2.1 Records identification, quantity, classification and cataloguing

This aspect constituted the first objective of the study and the data is exhibited under the following sub-headings:

- i. Identification, quantity, dates and format of national liberation movement records in custody;
- ii. Reappraisal of national liberation records;
- iii. Records classification;
- iv. Arrangement of records by qualified personnel;
- v. Finding aids in use to facilitate retrieval;
- vi. Existence of published guides; and
- vii. Register of accessions.

5.2.1.2 Identification, quantity, dates and format of national liberation movement records in custody

The identification and subsequent acquisition of archives is part of archives management. This is a complicated process in the context of African national liberation archives, as is now outlined.

A visit to one archival institution revealed that primary material relating to the ANC of South Africa's organizational history and activities in exile had been removed and repatriated to the country of origin. What remained was printed material like bulletins, resolutions, journals and reports. Upon being interviewed on the fate of these records, one respondent stated that the institution housing these records had plans to establish its own archive.

Meanwhile, interview sessions with directors of national archival institutions in Kenya, Lesotho, Malawi, Swaziland and Zanzibar at the 20th ESARBICA conference in Windhoek, Namibia from 1-3 July 2009 confirmed the non-existence of liberation struggle archives in these countries. The Director of Kenyan national archives for instance is quoted as having stated that:

The National Archives does not have records of former liberation movements in its custody but houses the papers of the late Joseph Murumbi who was one of those involved in the struggle for independence, and who later served as the Vice President under the late President Jomo Kenyatta. This is particularly so because no records were or have been acquired from the Mau Mau movement per se. What we have are the British colonial records detailing how the latter dealt with the uprising.

This situation contrasted markedly with sentiments echoed by directors of archives of frontline states in Botswana, Mozambique, Namibia, Tanzania, Zambia and Zimbabwe who acknowledged the existence of liberation struggle archives.

The Director of Mozambique national archives for instance mentioned that:

Liberation struggle archives represent an important chapter in Southern African history. This historical record is unique and there is need to ensure its adequate documentation for the benefit of posterity. Measures need to be taken to ensure that this record remains accessible in order to stimulate research and

debates on the history of the Southern African liberation struggles.

It is thus discernible from the foregoing that liberation struggle archives are geographically dispersed evidently pointing to the dynamics of colonial history. The presence of the apartheid state in Southern Africa for instance had far reaching ramifications on the prosecution of the armed struggle as organizations fighting for their emancipation were forced into exile. This in turn affected the archival records of those organizations.

Nonetheless, all respondents were asked to give in linear metres the quantity of their holdings of liberation struggle archives as opposed to their total holdings. There was a disappointing response to this part of the questionnaire in that six of the institutions did not respond and follow-ups during site visits were not productive as respondents were unable to supply figures because these were unavailable. For the three institutions that responded, the percentage of holdings oscillated from 0.15% to 2.4%. Holdings were overwhelmingly of Twentieth Century materials as reported by six (66.7%) of the surveyed institutions. Two institutions had manuscripts dating as far back as 1893.

The records in custody varied in nature which serves to confirm that the media used to capture the record existed in a variety of forms. There have been many debates on the definition of a record, and on how records differ from information and knowledge. According to Dearstyne (1993:1), a record means any type of recorded information, regardless of physical form or characteristics, created, received, or maintained by a person, institution, or organization. The broad definition of records encompasses correspondence, reports, diaries, journals, ledgers, minutes, photographs, maps, drawings, blueprints, agreements, memoranda, deeds, case files and other material. In the current study, the first seven items sought to identify the media that was used to capture the record. The definition offered by Dearstyne (1993) is thus

both comprehensive and fits well with the data extracted from the survey. Table 2 presents the type of recording media reported by participants.

Table 2: Types of records held in archival repositories in east and southern Africa

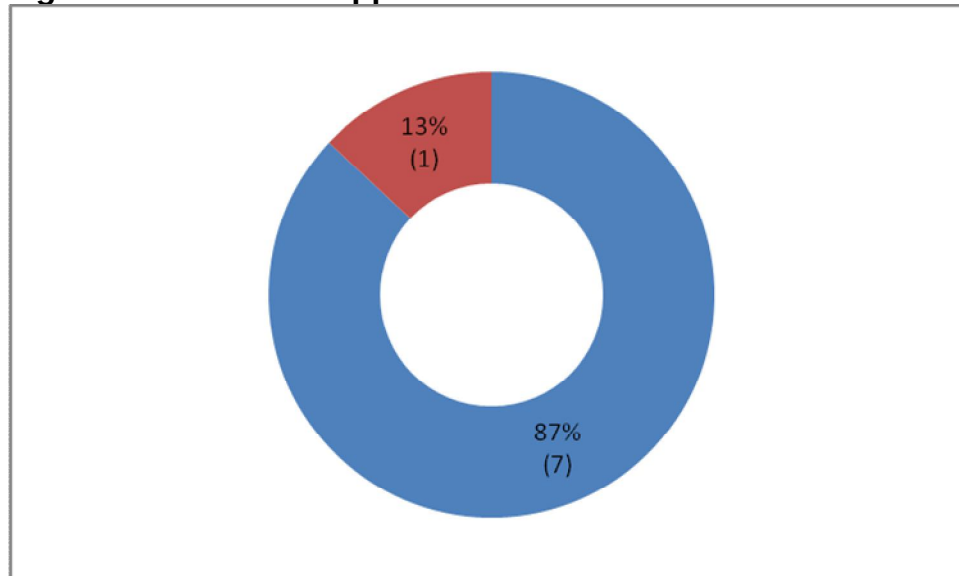
Types of records	N (9)	Percent of Cases
Paper	8	88.9%
Photographs	9	100.0%
Magnetic tapes	3	33.3%
Electronic records	3	33.3%
Video tapes	6	66.7%
Microforms	4	44.4%
Maps	5	55.6%
Audiotapes	5	55.6%
Slides	2	22.2%

Notable from Table 2 is the fact that the media in use is varied and reflects the weight of importance attached to paper (88.9%) and photographs (100%) from a recording perspective. Marvasti (2008:603) noted that pictures like written texts are seen as constructive of the realities they represent and “the image speaks in silence”. Electronic records were ranked low as the medium was not in popular use until recently.

5.2.1.3 Reappraisal of national liberation records

Reappraisal is also known as retention review and is important in that it addresses perceived shortcomings in acquisitions made under an earlier appraisal process, especially in view of non-use of records from a reference or research point of view.

Figure 1: Records reappraisal N=9



From Figure 1, it is observable that seven (87%) of the respondents did not undertake reappraisal or retention review whilst one (13%) confirmed that retention review was an important process in their archival management. There was one non-response to this part of the questionnaire.

5.2.1.4 Records classification

Classification involves placing records in logical groupings to facilitate retrieval. Question 12 asked respondents about the type of classification they employed in their institutions.

Table 3: Records classification

Records classification	N (9)	Percent of Cases
Function/activity	4	50.0%
Hierarchical	3	37.5%
Keyword/theme	3	37.5%
Alphabetical	-	-
Numerical	1	12.5%
Chronological	-	-

Table 3 indicates that four (50%) of archival institutions classified records by function whilst six (75%) used hierarchical and keyword/theme classifications. One (12.5%) used numerical classification whilst chronological and alphabetical classifications were virtually anonymous.

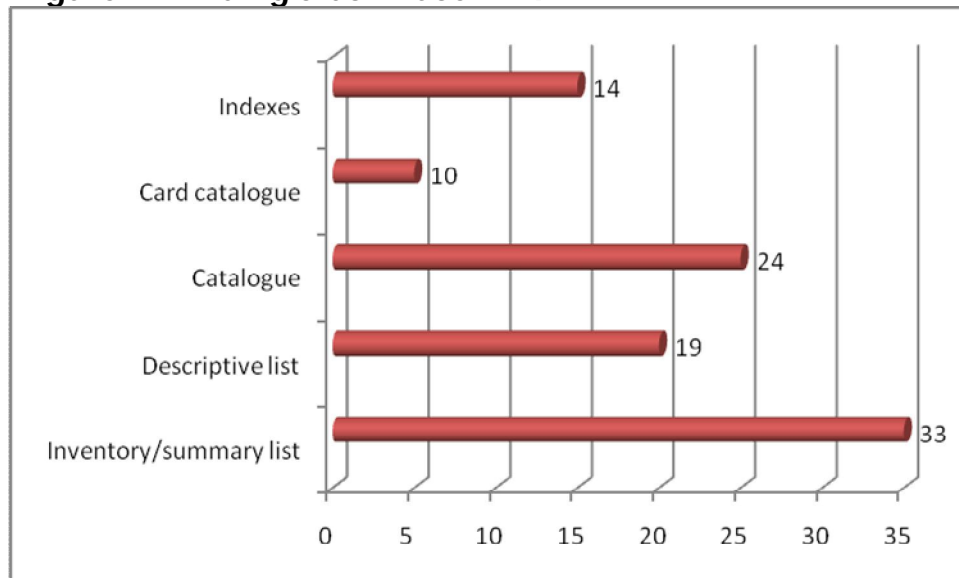
5.2.1.5 Arrangement of records by qualified personnel

Miller (1990:7) posited that archival arrangement involves processing and managing historical records by identifying sets of records derived from the same provenance and identifying relationships among such sets of records. The arrangement of records by a qualified archivist is thus fundamental when it comes to the issue of provenance and original order as this ensures that the integrity of the records in question is not compromised. Question 14 asked respondents whether archives in their institutions were arranged by a qualified archivist and seven (77.8%) of the answers were in the affirmative. However, two institutions reported that the work was being done by manuscript librarians and one institution noted that the execution of the task at hand depended on the degree of difficulty implying that a non-qualified person could carry out the task. It was also noted that of the nine institutions responding to the questionnaire, six (66.7%) recorded provenance, size and subject matter of the accession compared to two (22.2%) who did not.

5.2.1.6 Finding aids in use to facilitate retrieval

Finding aids are sign posts that lead researchers to the information they are seeking from or about archives. A combination of nearly all the types of finding aids listed was prevalent in the surveyed institutions. Inventories or summary lists were the most popular as summarized in Figure 2.

Figure 2: Finding aids in use N=9

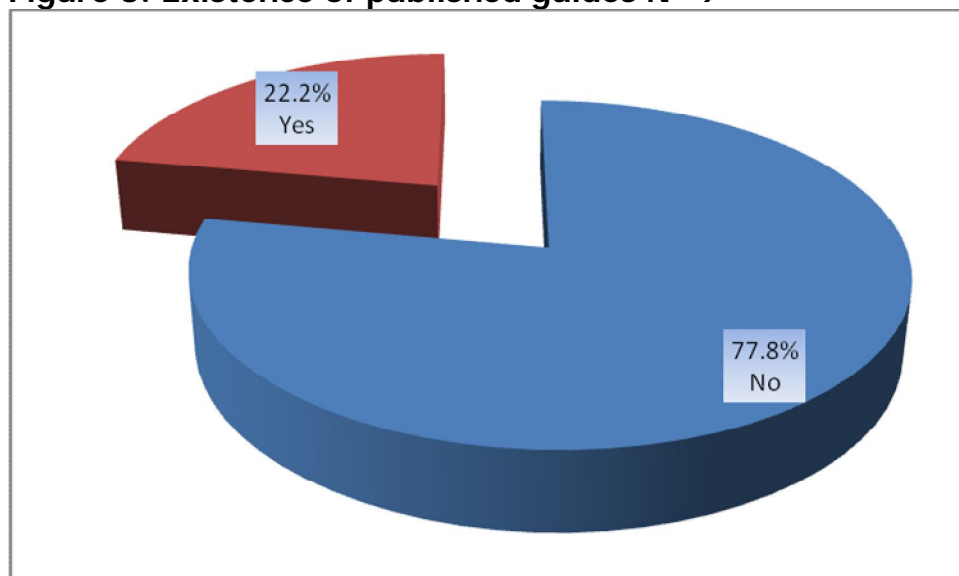


From Figure 2, the least used form of finding aid was the card catalogue which perhaps points to the influence of ICTs: one repository (10%) was still producing them. Catalogs are usually associated with libraries and this may be the reason for the low ranking.

5.2.1.7 Existence of published guides

Allied to finding aids was the issue of published guides to facilitate access in terms of retrieval. Figure 3 shows the distribution patterns of published guides in the surveyed institutions.

Figure 3: Existence of published guides N=9



From Figure 3, it is observable that seven (77.8%) of institutions did not have any published guides as compared to two (22.2%) who had them. Of the

22.2%, one institution had these in published format whilst for the other institution they were yet to be published. For the institution with published guides, these were posted on the web and were corroborated by observation and interviewing schedules upon visitations to the institutions.

5.2.1.8 Register of accessions

Having an official record of items received by an archival repository is the hallmark of sound archival administration. Miller (1990:31) correctly pointed out that accessioning comprises all the steps that repositories take to gain initial physical, administrative, legal and intellectual control over newly acquired material. Question 16 asked respondents whether they maintained a register of accessions for records pertaining to liberation movements. Six (66.7%) confirmed they had an accession register as compared to two (22.2%) who did not have one. Respondents were further asked to indicate the items contained in their respective registers and the findings are presented in Table 4.

Table 4: Items contained in accessions register

Register of accessions	N (9)	Percent of Cases
Date of accession	6	85.7%
Gift, purchase loan or transfer	6	85.7%
Provenance	6	85.7%
Restrictions on archives	3	42.9%
Copyright on archives	4	57.1%
Size of accession	4	57.1%
Brief description of contents	5	71.4%
Physical state of accession	4	57.1%

Table 3 indicates that the entries in the accessions register most popular were the date of accession, whether the accession item was obtained as a gift, purchase, or loan and the item's provenance. These entries were used by six (85.7%) of institutions. Three (42.9%) indicated the need to place restrictions on their archives from a policy point of view.

5.3 MECHANISMS, POLICIES AND PROCEDURES FOR RECORDS AND ARCHIVES MANAGEMENT

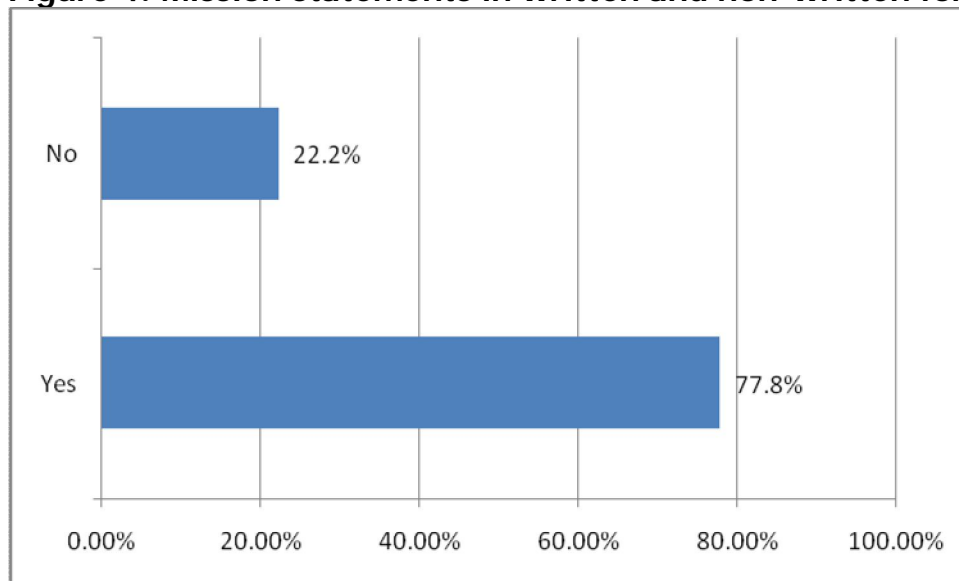
The second objective of the study was to establish the extent to which an enabling environment in terms of the policy framework assisted in managing records throughout their continuum. To accomplish this objective, a questionnaire (items 18 to 37 in Appendix 8), was used to solicit data. Data is presented under the following sub-headings:

- i. Mission statement;
- ii. Archival management policy;
- iii. Media for duplicate copies;
- iv. Access to unlisted archives;
- v. Restrictions on archives;
- vi. Policy issues with regard to requests and publication;
- vii. Guidelines to facilitate access; and
- viii. Challenges to managing liberation struggle archives.

5.3.1 Mission statement

A mission statement is an enduring statement of purpose for an organization that identifies the scope of its operations in product and market terms, and reflects its values and priorities (Abrahams 1995). In other words, a mission statement reflects the core values and vision of an organization and this document is usually enshrined in the organization's strategic plan. Question 18 asked respondents to indicate if their organizations had mission statements. Nine (100%) confirmed that they had mission statements. A content analysis of the mission statements revealed that the need to preserve the historical record for posterity and to make it available was a major priority. Question 20 asked respondents to confirm if the mission statements were contained in any written document and seven (77.8%) had the mission statement captured in written format as compared to two (22.2%) who did not. Figure 4 summarizes the distribution of archival repositories with written and non-written mission statements.

Figure 4: Mission statements in written and non-written form



5.3.2 Archival management policy

According to Williams (2006:203-204), a policy is a set of coherent decisions with a common long-term aim(s) that relate to a specific organizational purpose. The need to develop a policy for most archival functions is fundamental as this articulates *what* has to be done and *why*. In short, policies inform users what is expected of them and through policies staff members are given guidance regarding the boundaries of their service (Dunlop 2009:222-223). Questions 21 and 22 asked respondents to indicate if they had policies to assist in their archival management of liberation struggle archives.

Table 5 shows that two (25%) archival institutions had a general formal policy on managing liberation struggle archives as compared to seven (75%) who did not. The responsibility of managing these records reveals that four (50%) institutions had someone in charge of these records and four (50%) did not. The responses to the item regarding the existence of formal policy with regard to training and recruitment of qualified staff indicated that four (50%) of the archival institutions had one whilst the same percentage lacked policy in this regard. The microfilming of liberation struggle archives indicated that two (25%) archival institutions had formal policy as compared to five (62.5%)

who did not. Five (62.5%) indicated that they had policy pertaining to the digitization of liberation struggle archives.

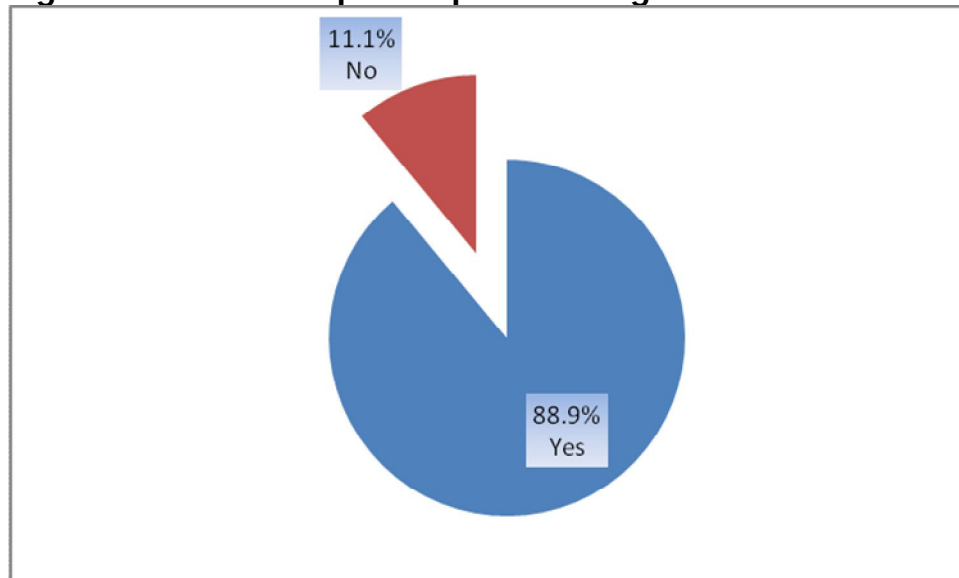
Table 5: General formal policies

General policies	N (9)	Percent of Cases
General policy on liberation movement records	2	25.0%
Responsibility for managing liberation movement records	4	50.0%
Training and recruitment of qualified staff	4	50.0%
Microfilm liberation movement records	2	25.0%
Digitize liberation movement records	5	62.5%
Policy applying to appraisal	3	37.5%
Policy applying to acquisition	4	50.0%
Policy applying to description of archives	2	25.0%
Policy applying to preservation	3	37.5%
Policy applying to processing	3	37.5%
Policy applying to custody and control	2	25.0%
Policy applying to reference service provision	3	37.5%
Policy applying to storage	3	37.5%
Policy applying to retention scheduling	2	25.0%

Furthermore, question 22 asked respondents to state whether they had specific formal policies dealing with salient aspects of archival administration such as acquisition, appraisal, and description of archives, preservation and so forth. It is evident from Table 5 that policies were generally in place with acquisition (50%) a priority compared to description of archives, retention scheduling and custody and control each at 25%. Policies applying to preservation, processing, reference service provision and storage were pegged at 37.5% in each case. Question 25 sought to establish whether

archival institutions obtained copies of archives relating to liberation struggle archives when the originals were unobtainable. Eight (88.9%) of the responses were in the affirmative compared to one (11.1%) as is summarized in Figure 5.

Figure 5: Archival copies in place of originals N=9



5.3.3 Media for duplicate copies

The media used to acquire these copies varied from one institution to the other as is illustrated in Table 6. Three (33.3%) confirmed that digital copies were the most popular and that figure (33.3%) also confirmed that they did not have microfiche compared to one (11.1%) response that showed the usage of microfilm to acquire the copies.

Table 6: Media used for copies

Media	N(9)	Percent of Cases
Roll microfilm	1	11.1%
Digital	3	33.3%
Microfiche	3	33.3%

5.3.4 Access to unlisted archives

The research sought to find out if archival institutions allowed access to unlisted or unprocessed archives. Findings revealed that most archival institutions gave access to unlisted records as five (62.5%) of the

respondents confirmed that they were granting such access after consultation with the head of the institution compared to three (37.5%) who were not.

5.3.5 Restrictions on access to archives

Respondents were asked if they placed restrictions on access to liberation struggle archives at the request of the donor. The responses were varied as issues of confidentiality and copyright were brought to the fore. Allied to respecting the wishes of the donor was the issue of policy decisions by the archival institutions. Responses in this realm were multifaceted. The need to pay research fees, restrictions on photocopying of the copies outside the institution and non-borrowing of this material were cited by a respondent. For one institution, there was no standing official policy; others were yet to formulate the policy. In situations where archives were not yet arranged or were unlisted, these were considered justifiable grounds to deny access. Finally, the need to respect the wishes of the donors was equally important.

5.3.6 Policy issues with regard to requests, publication and access

The research sought to find out if users were granted permission to publish extracts from archives relating to liberation struggle archives. All (100%) allowed publication but users had to acknowledge the institution as the source, although the right to publish could be reserved if material was deemed sensitive. Four (44.4%) confirmed the existence of guidelines for identifying requirements to facilitate access as compared to five (55.6%) without such guidelines. With regard to the issue of liberation struggle archives being currently open to use, all (100%) confirmed that access was open. On whether users were made aware of their access rights and responsibilities to comply with policies and regulations of the institution, seven (77.8%) observed this as a routine practice as compared to two (22.2%) who did not.

5.3.7 Challenges to managing liberation struggle archives

Question 37 sought to examine some of the challenges that institutions were confronted with in their management of liberation struggle archives.

Table 7: Challenges to managing liberation struggle archives

Challenges	N(9)	Percent of Cases
Challenges with regard to physical location	1	16.7%
Challenges in terms of lack of finding aids	2	33.3%
Challenges in terms of lack of equipment	2	33.3%
Challenges in terms of records deterioration	2	33.3%
Challenges of processing backlog	3	50.0%

Table 7 shows that the challenges in place when it comes to managing liberation struggle archives were fairly uniformly distributed across the board. Three (50%) indicated the prevalence of backlogs as a major challenge and two (33.3%) cited the issues of finding aids, lack of equipment and records deterioration as constituting their major challenges. Only one (16.7%) indicated that physically locating the records was problematic.

On the issue of backlogs one respondent is quoted at some length to highlight the gravity of the matter:

Staff has a large backlog of archival documentation to deal with. This is because the institution has never had enough staff to cope with the incoming work as well as to deal with backlogs. The provision of contract workers really helps permanent staff to deal with the backlog. This backlog situation is not unique to the institution but occurs in most archives.

5.4 PHYSICAL SECURITY OF THESE RECORDS TO ENSURE THEIR LONG-TERM PRESERVATION VIS-À-VIS EQUIPMENT AND AVAILABILITY OF EXPERTISE

The third objective of the study centred on the need to examine the physical security of liberation struggle archives in an effort to ascertain whether their long-term preservation was guaranteed vis-à-vis equipment and availability of expertise.

5.4.1 Access to records, repositories and use of visitors' register

Mnjama (2008:59) observed that access to records and archives may be viewed from three different perspectives: physical, bibliographic and intellectual. Physical access refers to the availability of materials for consultation. Bibliographic access refers to levels at which holdings have been described in the form of finding aids (See Section 5.1.5) and intellectual access refers for instance to language barriers that can be a hindrance to gaining access to information contained in the records.

As expected, access to records can be denied on the grounds of the physical condition of the records depending on an institution's access policies, rules and regulations. Seven (77.8%) of institutions confirmed that access could be denied if the records in question were in a poor physical state as compared to one institution (11.1%) whose stance was to the contrary.

Storage areas where archival material is housed are no-go areas for researchers. Surprisingly, five (55.6%) of institutions confirmed that repositories were no-go areas as compared to four (44.6%) who were granting open access.

The use of a visitors' register enhances the security status of an archival institution. Equally significant as mentioned by Williams (2006:133), is the fact that the register sheds light on the patterns of use of archives in terms of both the profiles of users themselves and the nature and methods of enquiry undertaken by them. Seven (77.8%) of institutions had a visitors' register as compared to one (12.2%) which did not have one. It was observed during

site visits that the visitors' register was in the vicinity of the entrance but without anyone consistently administering it. Out of the seven institutions visited, four (44.4%) did not enforce the signing of the visitors register, as the present researcher's details were not captured.

A cloakroom assists in housing visitors' personal belongings and six (66.7%) of the surveyed institutions had such a facility in place as compared to three (33.3%) without one.

The existence of written regulations assists in governing the conduct of researchers whenever they visited the archives and seven (77.8%) of the surveyed institutions had such regulations in place, while two (22.2%) did not.

The problem of bibliographical access was witnessed in one institution visited due to the absence of finding aids and haphazard filing and to the subsequent dumping of records on the floor.

5.4.2 Staff characteristics and training

An important resource of every organization is the personnel whose job is to help achieve the objectives of the archives service. From the surveyed institutions the number of staff summated to 176. Questions 38-41 therefore asked respondents about their professional knowledge and skills in managing archives. In the nine archival repositories, a summated total, 23 had training in various aspects of archival management as is indicated in Table 8 whilst 153 had no training.

Table 8: Types of archival training in archives

Types of archival training		Percent of Cases
Technical training	7	30.4
Microfilming training	2	8.6
Digital preservation training	5	21.7
Academic training	9	39.1

Table 8 shows the types of knowledge and skills of the 23 staff members who had some training and indicated that five (21.7%) of the repositories had staff trained in digital preservation while seven (30.4%) had technical training. Nine (39.1%) respondents reported that they had academic training while two (8.6%) had microfilming training. Respondents were also asked their areas of expertise in preservation and media management of records pertaining to liberation struggle archives as indicated in Tables 9 & 10.

Table 9: Areas of expertise in preservation management

Area of expertise	Level of training
Disaster planning and recovery	2
Holdings maintenance	2
Environmental monitoring	1.5
Preservation planning	2

Legend of the table: 0= none; 1= basic; 2= in-house training; 3=advanced training; 4= work experience and graduate training.

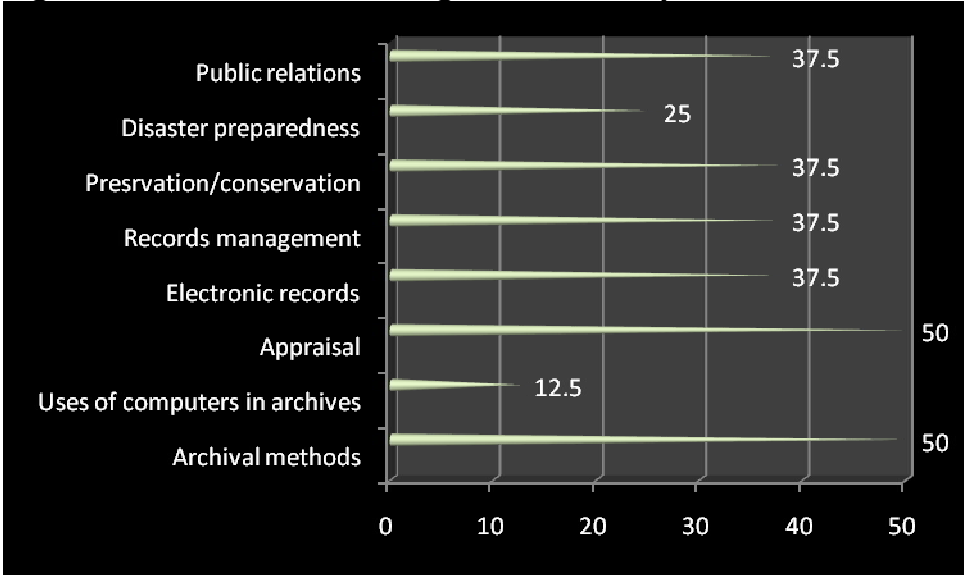
Table 10: Media expertise

Media expertise	Level of training
Audio materials	1
Electronic records	1
Microfilm	1
Photographs	2
Paper based materials	4

Legend of the table: 0= none; 1= basic; 2= in-house training⁹; 3=advanced training; 4= work experience and graduate training.

Table 9 communicates the equality of importance attached to disaster planning, holdings maintenance and preservation planning compared to environmental monitoring which is ranked lowly. Table 10 indicates that the level of expertise was mostly invested in paper-based materials as compared to microfilm, audio and electronic records. Identifying areas needed for additional training indicated the following scenarios as shown in Figure 6.

Figure 6: Additional training needs of respondents



Training in appraisal and archival methods was considered a priority, followed by electronic records, records management, preservation/conservation methods and public relations. Lowest ranked were training in disaster preparedness and training on the uses of computers in archives.

5.4.3 Type of equipment in custody

Respondents were also asked about the type of equipment they had in place.

⁹ In-house training refers to professionally administered on-the-job training whereas basic training refers to initiation activities designed to expose inductee to the tools of the trade.

Figure 7: Equipment in stock

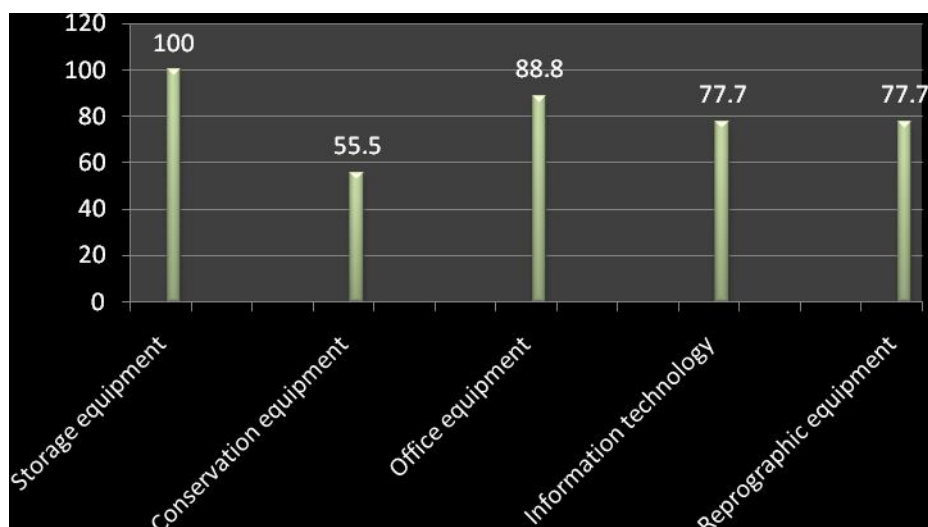


Figure 7 shows that all (100%) of the surveyed institutions had standard storage equipment, that is, filing cabinets and shelving systems, but shortage of space was highlighted by most respondents in interviews conducted during site visits. Observation visits to the sites confirmed the use of acid-free boxes for storage in four (44.4%) of the surveyed institutions. Three repositories (33.3%) continued to use non-archival containers, although one explained that this was a temporary expedient, pending processing or cataloguing. Steel shelving was popular with the surveyed institutions although it was noticeable during site visits that additional wooden shelving is still in use in spite of the fire risk. Seven (77.7%) of the institutions had reprographic and information technology equipment whilst five (55.5%) had conservation equipment for restorative work. Site visits corroborated these findings.

With regard to space shortages, one institution noted during interviewing that plans to expand storage facilities had been mooted pending the availability of funds to kick-start the construction. All institutions confirmed the equipment in place was suitable and appropriate for its intended purpose. On the availability of staff readily trained to use the equipment, only one (11.1%) acknowledged that they lacked trained staff in this regard compared to eight (88.9%) who did not.

5.4.4 Stocktaking

Taking stock of an archival institution's collections has a number of benefits. It enables one to identify missing or misplaced items and ensures the adequate care of archives in storage areas (IRMT 1999). Four (44.4%) of archival institutions did stocktaking once a year while four (44.4%) did not. There was one non-response to this part of the question. Interviewing sessions were interesting as respondents noted that write-offs were made when items were detected missing. In some instances, items missing were taken note of by keeping a register of items not found. One respondent remarked that storage boxes issued to users were checked immediately after use to identify any anomalies.

5.4.5 Storage conditions

Archives can be housed in a variety of locations be it purpose-built or adapted buildings, and as such, differences in quality of storage presents a common preservation challenge. Consequently, question 53 sought to establish the storage conditions that house liberation struggle archives. Four (44.4%) of archival institutions kept archives relating to liberation movements separately from other holdings as compared to five (55.6%) who did not. Conversely, five (55.6%) of archival institutions confirmed that the area where these liberation struggle archives were housed had continuous air-conditioning and humidity control compared to four (44.4%) who did not have such a facility.

Exposure to light, especially to ultraviolet rays, has a damaging effect on documents. Light increases the oxidation in paper and accelerates its chemical breakdown. It has a bleaching action which causes paper to whiten and can cause coloured papers and inks to fade. Williams (2006:184) pointed out that this damage is cumulative and irreversible and in areas where archives are stored, the sun should be blocked out and ultraviolet filters placed over windows and light fittings. With regard to the presence of windows in storage areas, six (66.7%) of archival institutions had these in storage areas as compared to three (33.3%) without. Three (33.3%) confirmed that measures were in place and this was validated by observation

at site visits where storage areas were found to have lights that were triggered by movement sensors which is environmentally (as regards archival material) friendly.

Pest management remains an important aspect of conservation work for archivists and all (100%) of the surveyed institutions confirmed they were carrying out fumigation. With regard to the methods used, a content analysis of the open ended responses revealed housekeeping was a recurring activity. Site visits to five institutions confirmed, in view of the neatness of repositories, that emphasis was placed on housekeeping. Such a regular and sustained programme of cleaning was not surprising considering that the accumulation of dust and dirt in storage areas encourages mould and infestation growth.

The need for archival institutions to have a risk management framework to safeguard their collections from unforeseen disasters cannot be emphasised. Seven (77.8%) of institutions had measures in place to safeguard their records from fire and floods as compared to two (22.2%) who did not. Fire precaution measures cited included use of steel shelving, smoke detectors, heating sensors, "no smoking" signs, fire alarms and extinguishers while the installation of a new roof, floor height and cleaning of gutters were some of the flood measures mentioned. Seven (77.8%) of institutions had theft precautions measures in place as compared to two (22.2%) who did not. The use of a CCTV monitor, burglar alarm, lockers, security guards and frequent checks on researchers were some of the measures mentioned under the security theme. Visits to some of the archival institutions confirmed the existence of these devices and practices.

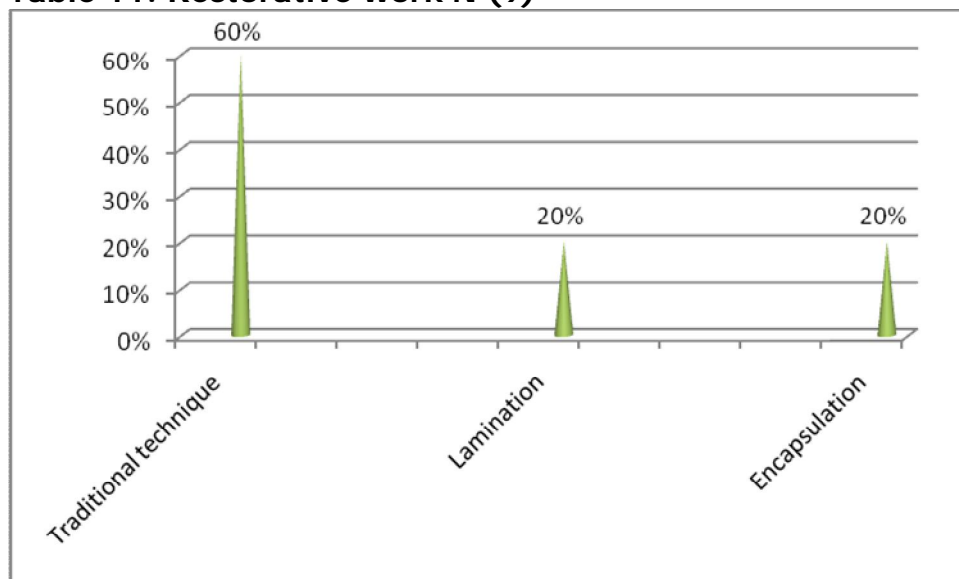
The reading room serves as the front office of an archival institution and is the laboratory for researchers. All (100%) of the surveyed institutions confirmed they had this facility and this was substantiated by observation visits, notwithstanding the ongoing refurbishments at some of the sites.

5.4.6 Restorative work

Weber (1999) observed that archival documents, like all other organic materials will lose their stability sooner or later until they ultimately deteriorate. The restoration of archives is therefore an ongoing activity and five (55.6%) of archival institutions carried out repair work on damaged records pertaining to liberation struggle archives as compared to four (44.4%) who did not.

The traditional method of repair is suitable for handwritten documents and documents of unique or rare quality and this method of repair requires adequately high skilled craftsmanship and patience (Savumthararaj 1997:151). As expected, the methods used for the restorative process as shown in Table 11 indicated that the traditional technique was the most popular method followed by lamination and encapsulation on even distribution.

Table 11: Restorative work N (9)



5.5 PRESERVATION NEEDS

The fourth objective of the study focused on the preservation needs assessment for liberation struggle archives. Cloonan (2007:747) noted that preservation tries to assure the survival of the human record. It therefore follows that archival institutions have to protect their holdings by selecting appropriate preservation strategies, controlling the storage environment,

planning for disasters, performing holdings maintenance and treating selected materials.

5.5.1 Preservation strategies, staff training and standards

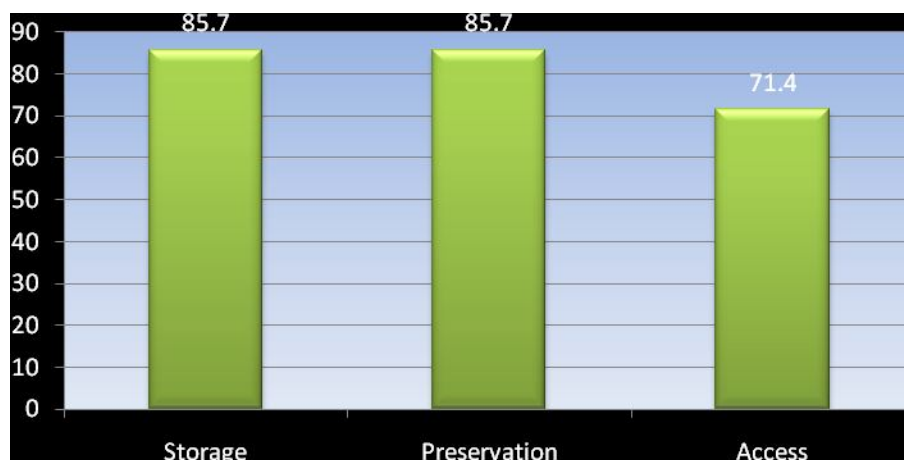
Reformatting is an umbrella term that refers to all the activities undertaken to facilitate the creation or migration of information from one carrier to the other especially for preservation or access. Table 12 shows that most respondents cited digitization as the most widely used preservation strategy, while the least cited preservation strategy was de-acidification accounting for two (25%) of the respondents.

Table 12: Preservation strategies

Preservation strategy	N(9)	Percent of Cases
Microfilm	3	37.5%
Digitization	7	87.5%
Lamination	3	37.5%
De-acidification	2	25.0%
Encapsulation	4	50.0%

Eight (88.9%) respondents indicated that they had training in preservation techniques as compared to one (11.1%) without. A standard is a benchmark or reference used to measure some quality or measure. Williams (2006:130) noted that standards define quality in archives service. Figure 8 shows that the applications of standards were most concentrated on storage and preservation of records as compared to access. Three respondents (33.3%) made reference to ISO and ICA standards though these could not be validated during site visits. One respondent cited adherence to national standards, one to AACR2/MARC standards for collections and manuscripts, and one stated that they were complying with "ESARBICA standards".

Figure 8: Archival standards N (9)



5.5.2 Building type, length of occupation and renovations

A proper environment prolongs the life of the collections and Williams (2006:220) noted that an archive service's accommodation needs to be able to cater for the successful implementation of its three core aims of selecting, preserving and making available archives for the long term. Five (55.6%) of archival institutions had purpose-built storage. Three (33.3%) were using adapted buildings. Five (55.6%) confirmed that renovations had been done in the institutions' history. The oldest building dated back to 1935 with the most recent having been constructed in 2000.

5.5.3 Disaster planning, recovery and security

An important aspect to consider in the preservation of archival material is to have a disaster control plan. Savumthararaj (1997:128) observed that a disaster control plan is a contingency plan for archives on what to do in case of a man-made or natural catastrophe. Five (55.6%) of institutions lacked a disaster preparedness and recovery plan as compared to three (33.3%) who had. Respondents were further asked to choose the aspects covered by the plan including the type of disasters that posed a threat to the institution.

Figure 9: Aspects covered by disaster plan N (9)

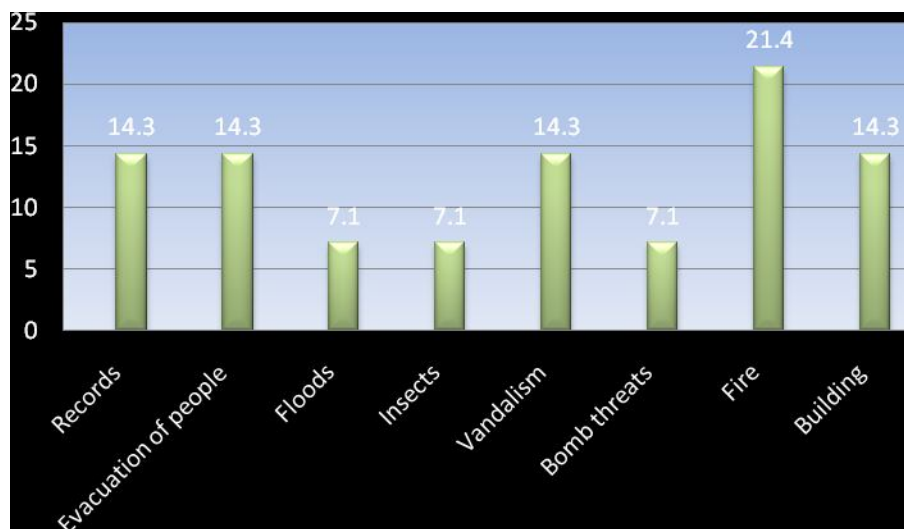


Figure 9 indicates that three (21.4%) of institutions considered fire as a major threat to their collections and that the disaster plan mostly covered the records, building and evacuation of people. Security is an important aspect that ensures that archives are kept secure from unauthorized access. Table 13 indicates that eight (88.9%) of archival institutions had security personnel manning their premises. The use of cameras, alarm systems and a CCTV was not pronounced with two (22.2%) confirming their existence.

Table 13: Security systems

Security systems	N (9)	Percent of Cases
Security personnel in place to safeguard liberation movement archives	8	88.9%
Electronic security systems in place to safeguard liberation movement archives	3	33.3%
Cameras in place to safeguard liberation movement archives	2	22.2%
Alarm system in place to safeguard liberation movement archives	2	22.2%
CCTV in place to safeguard liberation movement archives	2	22.2%

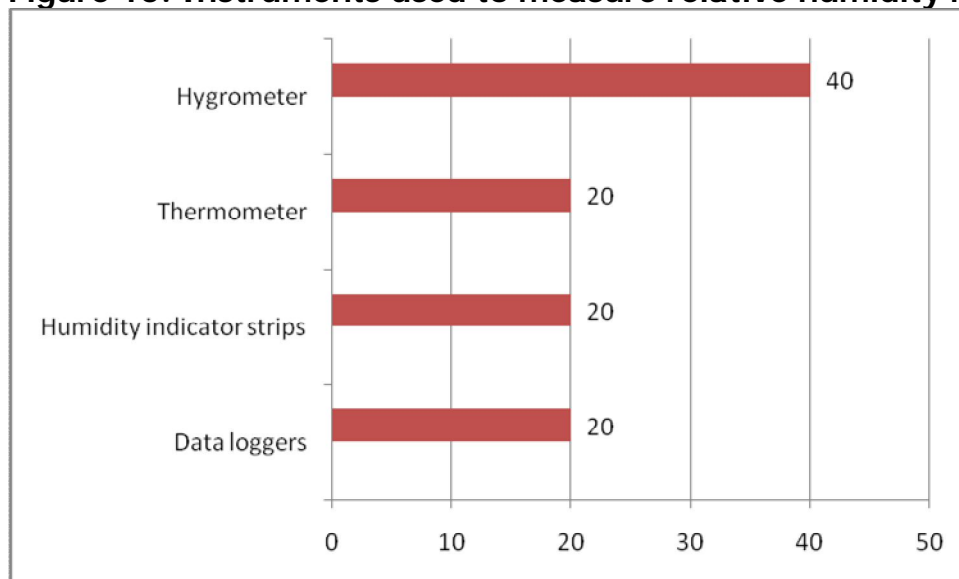
5.5.4 Heating, ventilation and air conditioning (HVAC)

The prevalence of appropriate environmental conditions ensures the life span of archives. Adequate ventilation and circulation of air within storage areas is important to prevent pockets of stagnant air in which mildew will flourish. Consequently, regulating the temperature and relative humidity in storage areas is fundamental. Regulating is done by installing a heating and ventilation system (HVAC) and this system needs regular monitoring and servicing. Seven (77.8%) of surveyed institutions confirmed the presence of a HVAC system as compared to two (22.2%) without.

One of the institutions without a HVAC mentioned that air circulation was maintained by opening windows on a regular basis. Four (44.4%) archival institutions reported that their HVAC system was 10 years and above in terms of age, one (11.1%) reported that it was between 4-7 years while two (22.2%) reported that it was between 1-3 years old. The maintenance of the system revealed interesting results. Two (22.2%) archival institutions maintained it twice a year and this percentage equally applied to two institutions who maintained it annually.

One institution (11.1%) maintained it once every two years whilst two (22.2%) reported that need acted as a determinant. On the availability of records to prove that the HVAC system works, three (33.3%) confirmed they had as compared to four (44.4%) who did not. Observation visits at selected archival institutions confirmed the absence of a maintenance schedule as this could not be produced upon request. Relative humidity (RH) can be expressed as the ratio (in percent) of vapour pressure in a sample of moist air to the saturation vapour pressure at the same temperature (Adcock, Varlamoff and Kremp 1998:22). Five (55.6%) of respondents reported that their institutions had a controlled RH of between 35% and 60% as compared to three (33.3%) who did not. To measure the RH, the instrument commonly used was the hygrometer as indicated in Figure 10.

Figure 10: Instruments used to measure relative humidity N (9)



5.5.5 Pest management and fire detection system

Bio-predation in storage areas leads to records damage and this needs to be carefully monitored. Five (55.6%) of archival institutions specified fumigation or other forms of disinfection of the storage either regularly or at need compared to three (33.3%) who did not. One respondent mentioned PH3 as the chemical used and residual spraying.

Table 14 indicates the frequency of the fumigation exercise.

Table 14: Frequency of termination of infestations

Frequency of termination	N(9)	Percent of Cases
Once a year	4	44.4
Twice yearly	2	22.2
Once every two years	1	11.1

From Table 14, it can be seen that four (44.4%) fumigated their storage areas once a year, two (22.2%) twice a year and one (11.1%) once a year. Three (33.3%) of archival institutions reported that the fumigation was outsourced and was not an in-house activity. Two archival institutions did not respond to this part of the question.

Fire and smoke detectors alert staff and emergency services thereby catching the fire at an early stage. Six (66.7%) of archival institutions had a fire detection system, mostly smoke detectors as compared to two (22.2%) who did not.

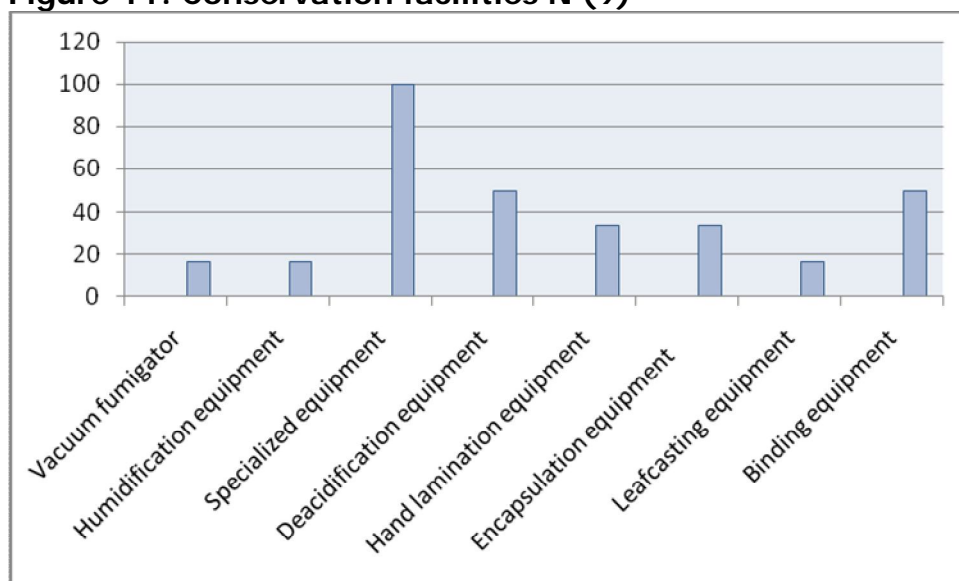
Liaising with the local fire department helps in the conduct of drills and emergency rescue services. Five (55.6%) confirmed that they had regular visits by the local fire department as compared to three (33.3%) who did not. There was one non-response to this part of the questionnaire. Two (22.2%) of archival institutions reported that visits by the local fire department had an orientation towards inspections. One (11.1%) institution reported that visits by local firemen focused on establishing a program on fire prevention. Two (22.2%) of archival institutions reported that visits by the local department mostly focused on staff training.

5.5.6 Conservation treatment

The caring of individual items is an important activity within the preservation function. Williams (2006:168) asserted that conservation refers to specific hands-on techniques that set out to stabilize individual documents to prevent further deterioration and where processes are reversible. A significant number

of respondents, six (66.7%) acknowledged that conservation was an in-house activity compared to two (22.2%) who were not carrying out this activity. Respondents cited document conservation (66.7%) as the most popular activity with 33.3% of respondents citing upgraded environmental controls as equally important. Disaster recovery was reported by one institution (11.1%) and this was validated by observation visits undertaken. Having the right equipment in place facilitates conservation treatment and Figure 11 shows the conservation facilities in the surveyed institutions.

Figure 11: Conservation facilities N (9)



From Figure 11, it is discernible that all (100%) of institutions surveyed had basic specialized cleaning equipment. Leaf casting, vacuum fumigators, humidification chambers were not common due to their sophistication.

5.6 USE OF DIGITIZATION PROCESSES TO ENHANCE PRESERVATION AND ACCESS TO THE RECORDS

Ascertaining the extent to which the information communication technologies have had a "transformative influence" on preservation and access to liberation struggle archives constituted the fifth objective of the present study. The onset of technology has had a profound impact on how information is stored and accessed. One respondent noted that digitization had facilitated their preservation drive in that through use of surrogates, originals had been "saved" from deterioration through frequent handling and climate fluctuations.

However, in order to achieve a successful electronic records management programme, an organization needs to establish a sustainable records management infrastructure, which includes not only the ad-hoc use of ICTs, but the development and implementation of policies for the management of records and information in all forms, including electronic and paper (IRMT 2009a). Barata (2004:63) agreed with this view and mentioned that preserving digital records involves various challenges, including policy questions, institutional roles and relationships, legal issues, intellectual property rights, and metadata and other technical issues.

5.6.1 Written policies to manage digital records

As noted earlier on (Section 5.2.2), policies provide operational efficiency to archival institutions. A significant number of respondents, eight (88.9%) acknowledged that they did not have written policies for managing digital records compared to one (11.1%) who did. Interestingly, the confirming institution neither had these written policies on their website nor in published form. The survey also established that for the confirming respondent, there were no policy guidelines for acquiring material in digital form, nor for their conversion to digital form. Neither was there any policy pertaining to refreshing or migration. All (100%) of the surveyed institutions did not have standards for the preservation of digital records pertaining to liberation struggle archives.

5.6.2 Technical capacity

Seven (77.8%) of the nine institutions confirmed they had digital material pertaining to liberation struggle archives but lacked the technical capacity to read and access compared to two (22.2%) who had the capacity. Microfilms, reel-to-reel tapes and floppy disks were the media cited with regard to which respondents encountered reading and access problems.

Refreshing refers to the process of copying data from one medium to another one of the same type (IRMT 2009b). All (100%) of the surveyed institutions mentioned that they were not refreshing data. Meanwhile, migration is the

process of translating data or digital objects from one computer format to another format in order to ensure users can access the data or digital objects using new or changed computing technologies (IRMT 2009b). Two (22.2%) of the surveyed institutions reported that they were migrating digital records compared to five (55.6%) that were not. On these related questions of digital preservation (See also Section 5.4.1), it is evident there is a considerable disparity in practice. Nonetheless, seven archival institutions did rank threats to their digital materials as is indicated in Table 15.

Table 15: Ranking of factors that posed a threat to the survival of digital materials

Threats to digital materials	Greatest threat	Moderate threat	Neutral	Smallest threat	No threat
Physical condition	0	3	0	1	1
Technological obsolescence	5	0	0	0	1
Insufficient policy	0	3	0	0	0
Lack of resources	1	2	0	3	0

Table 15 indicates that technological obsolescence and the lack of resources were the major threats to the survival of digital records. One trend identified during visits to two institutions was that there is a heavy reliance on donor assistance for the purchase, maintenance and development of the digitization infrastructure. The digital archive at these two institutions had an orientation towards storage, use, and accessibility of audio-visual, photo, audio, and electronic documents. This trend epitomized the shift from physical repositories to archives without walls – the virtual world that is. Resources were available in various information carrier formats; for audio-visual documents: motion pictures 35mm, 16mm, 8mm, super8mm, videocassettes (VHS), BETACAM SP, DVCAM, mini-DV, Hi8, DVD-R; for photo documentation:

CD-R, magneto-optical disks (MO), negatives; for phonographic documents: magnetic tapes 6.25mm, 35mm, audiocassettes, videocassettes (VHS), matrixes (metallic discs), vinyl records, CD-R, DAT cassettes, mini discs (MD) DVD-ROM discs; for electronic documents: CD-R, CD-RW, DVD+R, DVD-RW, MO. In addition, the state-of-the-art equipment and the interactive nature of their websites were impressive.

5.7 ROLE OF NATIONAL ARCHIVES IN MANAGING THESE RECORDS AND THE EXISTING RELATIONSHIPS BETWEEN THE NATIONAL ARCHIVES AND LIBERATION MOVEMENTS' ARCHIVES

The role of national archives in managing these records and the relationship between national archives and the archives of the liberation movements constituted the final objective of the study. Data for this objective were gathered through a content analysis of the legislation in place and through the use of an interview schedule which is reproduced in Appendix 7. Legislation provides the essential framework that enables an archives service to operate with authority in its dealings with other agencies of the state. Roper (1999) asserted that the enactment and application of comprehensive, up-to-date records and archives legislation is a critical prerequisite for the establishment of an effective, integrated system for managing records and archives throughout their life-cycle. In view of that, a content analysis of the legislative provisions of the institutions surveyed enabled themes to be identified in as far as the management of private archives was concerned.

5.7.1 Non-governmental records

In his foreword address, Shikapwasha (2004:4) pertinently remarked that it is fundamental to promote the growth of a culture of record-keeping outside government circles. Eastwood (2006:17) concurred and observed that private archives need to be given due attention to that accorded to public records. Any efforts in this realm require a planned, documented and systematically pursued approach to ensure that we have an adequate documentary heritage of our times.

Accordingly, non-governmental or private records are those records created, received and maintained by non-governmental organizations, families or individuals relating to their private and public affairs (IRMT 1999). Parer (2000) noted that in a number of jurisdictions though, government archives collect and preserve the records of non-governmental bodies such as corporate bodies, trade unions, educational institutions and political organizations, and the private papers of certain individuals. The following discussion highlights components of legislation applying to private records in the surveyed institutions.

The nearest the National Archives Act (1986) of Zimbabwe gets to assisting in the collection of private archives is in Section 2(b) which refers to any record or other material acquired by the Director of National Archives in terms of paragraph (c) of Section 5 of that Act. Therefore the Director:

- - - may acquire by purchase, donation, bequest or otherwise any record or other material which in his/her opinion is or is likely to be of enduring or historical value.

A similar situation is witnessed in the Public Archives and Documentation Service Act of Kenya (1991). With the powers vested in the Director, s/he may:

- - - approve any institution, whether private or otherwise, as a place wherein may be deposited, housed or preserved either permanently or temporarily any public archives, records or records which have been declared historical records, under Section 9.

The National Archives of Namibia Act (1992), the National Archives of South Africa Act (1996) and the National Archives of Tanzania Act (2002) are explicit with regard to the management of private archives in their respective countries. The vision of the National Archives of Namibia as enshrined in its archival legislation is to:

- - - acquire, conserve and provide access to private and public records in all formats and media of national significance - - - and co-operate closely - - - with the National Library as well as other information centres.

A site visit to the National Archives of Namibia for instance confirmed this co-operation as the institution is leading the digitization project of liberation struggle archives by providing storage services and expert advice to the records of the South West African People's Organization (SWAPO) under the auspices of SWAPO Party Archives (SPARC).

The National Archives of South Africa Act (1996) provides in its preamble a catalog of terms in which the definition of a non-public record is spelt out for the sake of clarity. The Act goes further to define the objects and functions of National Archives with regard to non-public records as being to:

- i. Preserve non-public records with enduring value for use by the public and the State;
- ii. Make such records accessible and promote their use by the public;
- iii. Collect non-public records with enduring value of national significance which cannot be more appropriately preserved by another institution - - -; and
- iv. Maintain national registers of non-public records with enduring value and promote co-operation and co-ordination between institutions having custody of such records.

In addition, South Africa has the Promotion of Access to Information Act, No. 2 of 2000, which requires private institutions to present a manual with the narration of records, holdings a laudable move to promote access to information.

The National Archives of Tanzania Act (2002) similarly defines private archives in its interpretation section for clarity's sake and Section 13 (2e) states that

the Director may do all such things as appear to him necessary or expedient for maintaining the utility of the National Archives and any other archival repository under his control, and may in particular:

- - - accept private records for safekeeping and acquire private records by gift, bequest or deposit.

The Minister is also empowered by Section 26 (1) to acquire private records. Thus, provided:

- - - [they] are of national importance, and that it is in the public interest that they be acquired, he may, after consultation with the owner of the private records and subject to the following provisions of this section, acquire them, or any part of them, and declare them to be public.

However, a visit to the National Archives of Tanzania seemed to confirm otherwise as archives pertaining to the Liberation Committee under the now defunct Organization of African Unity (OAU) were said to be under the custody of Tanzania Defence Forces (TDF). Verification efforts to establish the whereabouts of these records hit a brick wall due to non-co-operation by the National Archives of Tanzania who purported to have supervisory powers over these records.

Not surprisingly, Chachage and Ngulube (2006:3) were highly critical in their appraisal of the Records and Archives Management Act (United Republic of Tanzania 2002), an Act which pays little attention to business records at a time when the majority of government enterprises were being privatized. In section 26(1), for instance, the Act indicates an interest in only acquiring private records of national importance and public interest. The question is: How would the National Archives identify private records of national interest if there was no law regarding their management and a clear mandate for National Archives to identify and manage them?

In summary then, an analysis of these snippets of archival legislation reveals in some cases the inherent semantic ambiguity which also suggests a revisiting of these issues is needed. In other cases however, there appears to be good cooperation between the National Archives and private archival collections, such as those of the liberation movements.

Be that as it may, another important instrument for the location of private archives are guides and directories including those published by institutions holding the papers. Two (22.2%) of the surveyed institutions had published guides and directories to private archives in their countries compared to seven (77.8%) without. Site visits to the institutions confirmed the existence of these guides and directories as the present researcher was shown printed and electronic copies. Hinfelaar and Macola (2004:8) stated that the decision to compile their *First Guide to non-governmental archives in Zambia* originated from a deep concern for the state of the country's non-governmental documentary materials. These private archives are underutilized, inaccessible and often in danger of decay or destruction owing to lack of resources and informed support.

A survey conducted by Seton (1984) observed that in recent years in the developed world there has been an increasing tendency to regard private archives as part of the national archival heritage, and to legislate accordingly. This status quo contrasts markedly with what is happening in the developing countries. The present research sought to find out whether there was any competition between different institutions over the acquisition of private archives. Three respondents (33.3%) noted that relations between private and public archives were not harmonious in as far as the acquisition of private archives was concerned. The three respondents also attested that the general situation in their respective countries with regard to private archives was not satisfactory. In contrast, one respondent reported that it enjoyed a harmonious relationship with other repositories in as far as the acquisition of private archives was concerned.

Areas of concern noted by respondents were on the physical state of private archives, their storage and custody, arrangement and finding aids and access. One respondent reported that personal papers and archives of liberation movements were in a state of neglect while for another institution the neglect was affecting various categories including papers of families and estates and literary manuscripts.

On whether private archive administration was included in the curriculum for archival training, two respondents reported that it was not compared to one institution which included this component in training courses for archivists. It was positive to note that this curriculum input from this archival institution was quite significant and showed its concern with regard to what had to be included in the training of archivists. Various remarks were made by respondents on how best to improve private archives administration. Respondents mentioned policy reviews, legislation revisiting, co-operation and the overhauling of curricula in the training of archivists.

5.8 SUMMARY

This chapter presented the findings of the study and analysis of the results. Key thematic issues that emanated from data presented were variegated. The media used to capture the record is diverse and included paper, photographs, electronic, maps, documents and so on but photo-documentation remains the most popular. Hierarchical and keyword classifications were predominant. The arrangement of archives was being done by qualified personnel and inventories or summary lists were the most popular finding aids.

All of the surveyed institutions had mission statements but ironically, policies were not captured in written form. Backlogs of unprocessed materials remain a nagging challenge for most archival institutions. Despite an upsurge in digital preservation training, the bulk of expertise remains invested in paper-based materials. Steel shelving is popular with the surveyed archival institutions and the use of a visitors' register remains a standard procedure for most of the institutions despite the administrative irregularities.

Digitization is the most widely used preservation strategy and purpose-built storage is prevalent in the surveyed institutions.

The provision of a sympathetic environment through heating, ventilation and air conditioning (HVAC) is a widespread phenomenon in the surveyed institutions though interestingly, disaster planning does not feature strongly. Lastly, the legislative apparatus in as far as it applies to private archives in the surveyed institutions appears outdated and evidence on the ground suggests that this instrument needs urgent review. The data presented in this section provided the foundation for the interpretation that follows in the next chapter.

CHAPTER SIX: INTERPRETATION AND DISCUSSION OF RESEARCH FINDINGS

6.0 INTRODUCTION

The preceding chapter presented the research findings of the study and these findings need to be examined thoroughly in an effort to find the solution to the research problem which underpinned the research process. Interpretation refers to the stage in the research process where the researcher tries to “bring it all together”, either by relating various individual findings to an existing theory or hypothesis or by formulating a new hypothesis that would best account for the data (Mouton 1996:161). Data interpretation was therefore premised on the survey instruments employed for the present research and the literature reviewed taking cognizance of current and previous research. The interpretation was sequential as it followed the analysis done in the preceding chapter and the objectives of the study acted as the framework in determining the search for meaning. The objectives of the study are revisited and these were to:

- i. establish the location, custody, volume, composition, condition and management of liberation struggle archives;
- ii. examine infrastructure issues comprising policies, procedures and resources for their management;
- iii. assess the physical security of these records to ensure their long-term preservation vis-à-vis equipment and availability of expertise;
- iv. conduct a preservation needs assessment;
- v. assess the extent of the use of digitization processes to enhance preservation and access to the records; and
- vi. assess the role of national archives in managing these records and the existing relationships between the national archives and liberation movements’ archives.

6.1 RECORDS IDENTIFICATION, QUANTITY, CLASSIFICATION AND CATALOGUING

This constituted the first objective of the study and the data is interpreted under the following sub-headings:

- i. Identification, quantity, dates and format of national liberation movement records in custody;
- ii. Reappraisal of national liberation records;
- iii. Records classification;
- iv. Arrangement of records by qualified personnel;
- v. Finding aids in use to facilitate retrieval;
- vi. Existence of published guides; and
- vii. Register of accessions.

6.1.1 Records identification, quantity, dates and format of national liberation movement records in custody

Bradsher (1988:11) observed that because the first objective of archivists is to establish and maintain control over records of enduring value, identifying and selecting such records is the first step in the archival process. In consequence, considering that the bulk of the records pertaining to the liberation struggle were generated in exile, it is imperative that these migrated archives are identified and acquired by archival institutions within the ESARBICA region. Records created by liberation movements whose members were forced into exile constitute one genre of removed archives, archival claims or migrated archives. Pearce-Moses (2005) defined migrated archives as those records of a country that have been removed from the country where they were originally accumulated.

Mnjama (2002b: 32-34) observed that in some cases, records remained in countries where freedom fighters sought refuge. Reference is made to the Southern African region for example which shows that virtually all states in the region are affected by problems related to this phenomenon. Commenting then on the role of the Namibian National Archives and its relationship with private archives in Namibia, Lau and Hillebrecht (1993:106) noted then that

important archival resources for the history of Namibia are stored outside Namibia, in particular in mission archives in Germany and Finland, government archives of the colonizing countries Germany and South Africa, the UN archives and the archives of foreign NGOs involved in the struggle for independence.

The foregoing view was confirmed by Wilcox (2001) who, in her introductory remarks to a guide on Namibian liberation struggle archives, acknowledged that the aim of the catalogue was to compile a guide to archival resources and special collections in the Western Cape, South Africa that housed materials pertaining to the national liberation movement in Namibia. The catalogue is specifically focused on materials by and about SWAPO, dating from 1960 to 1991.

Mnjama (2005:473) pointed out that Namibian records were satisfactorily repatriated back to Namibia, something that had not happened before in the region. Although South Africa was keen to repatriate the Namibian records, it insisted on retaining microfilm copies of the same which demonstrates how problematic the issue of archival claims is. In addition, not all records belonging to Namibia's struggle for independence have been repatriated to the mother country as mentioned by Wilcox (2001) above.

The fact that the issue of records relating to African liberation movements and other migrated archives has been discussed at various times in ESARBICA General Conferences (ECARBICA 1969, ECARBICA 1972, ECARBICA 1976, ESARBICA 1991, ESARBICA 2001, ESARBICA 2003 and ESARBICA 2005) indicates the prevalent concern about the need for their identification and housing (Mnjama 2007a).

Mnjama (2005:8) noted that there was a moral obligation on the part of the present custodians of such records to have them repatriated back to the various countries of origin of the freedom fighters. Fittingly, this situation was observed in Tanzania which removed and repatriated the primary material concerning the South African ANC's organizational history and activities in

exile, to their country of origin. What remained in Tanzania was printed material like bulletins, resolutions, journals and reports.

Dick (2005:11) and Morrow and Wotshela (2005:328-329) stated that the ANC records of the exile settlements in Tanzania (Dakawa and Mazimbu) were transferred to the Fort Hare University Archives in September 1992. The University of Fort Hare has been designated as the official repository of the ANC Archives. Currently, SOMAFCO (the ANC's school in Tanzania) represents the largest and arguably the richest collection in the ANC archives (Moodley 1993:608; Stapleton and Maamoe 1998:413; Ramdhani 1998:67-68; Morrow, Maaba and Pulumani 2004: vii). This repatriation of strays (displaced archives) is a remarkable and laudable development within ESARBICA as it is the duty of archivists to identify, list and ensure these archives' proper arrangement with regard to location.

In short, archives in exile must be returned home. Nsibandze (1996:84) commented that archives in exile are archives unjustly transferred (removed) from one country to another. Whether one employs the term "fugitive archival material", or 'missing documents', 'migrated archives', or 'removed or displaced archives', the common factor is that they are not where they are supposed to be, in their rightful place of custody. Notwithstanding, archival claims have not only been restricted to those liberation struggle records held within ESARBICA member states but go beyond Africa's borders. Namihla (2004:226-227) observed that the documentary trail pertaining to liberation struggle archives is found scattered over the world.

The UN and UNESCO have developed guidelines for the settlements of disputes as evidenced by the Vienna Convention on the Law of Succession in respect of State Property, Archives and Debts. The problem with this particular instrument is that while the G77 approved and ratified the Convention, it was not ratified by Western powers who are holding most of the migrated and liberation archives. Auer (1998) correctly asserted that despite all UN, UNESCO and ICA resolutions and recommendations on the

subject, there has been no agreement on guidelines for dealing with disputed archival claims and the potential restitution of the archives. What has exacerbated matters is that this issue of disputed archival claims is a problem involving political interest and national pride – a sense of belonging and oneness whereby one takes pride in one's country achievements and cultures with that desire to preserve its character. Peltola (2009) rightly noted that a strong national identity is a very important asset for any nation as all nations are based on a common understanding of their past.

It is also for this reason – the involvement of political interest and national pride - that international action is very often viewed with some distrust and seen as interference with national sovereignty. Due to this problematic issue, Auer (1998) opined that the settlement of claims should be left exclusively to bilateral and, in some cases, multilateral agreements between states. Kukubo (1990:11) observed that the success of the restitution of archives is dictated by both the political and diplomatic relations existing between the countries concerned. The success of the transfer of records from South Africa to Namibia as earlier noted, was due to bilateral negotiations, a situation which was completely consonant both with archival principles as recommended by UNESCO and ICA and with political interests. This was equally true with regard to the ANC records of the exile settlements in Tanzania (Dakawa and Mazimbu) which were transferred to the Fort Hare University Archives in September 1992. Morrow, Maaba and Pulumani (2004:179-180) summed up the transfer and importance of this documentary record, and are quoted profusely:

The archives and other artefacts that are now deposited at the library of the University of Fort Hare are an outstanding legacy of SOMAFCO. Archival sources are seldom as readily or rapidly available to historians and others as those of SOMAFCO. Anyone present will remember the scene in Freedom Square, Fort Hare, on 21 September 1992. A lorry from the port of Durban deposited a large container in the square. A knot of university

dignitaries and others gathered around while a workman broke the seal with a crowbar. The doors swung open, there was a scatter of applause and there was a pile of apparently unorganized papers and objects - - -. These were the records of SOMAFCO, raw from Mazimbu and these papers form the backbone of this book.

The transfer of these records signified an important chapter within ESARBICA with regard to the restitution of liberation struggle archives. This event went a long way in fulfilling the aims of repatriation of such records, as were later to be encapsulated in the 2003 ESARBICA declaration on migrated archives (ESARBICA 2003). These records have been accessioned and the requisite documentation put in place to ensure their long-term survival (Morrow and Wotshela 2004:328; Ramdhani 1998:66-68).

A closer examination of the volume of the records pertaining to the various national liberation movements in east and southern Africa will now be undertaken. The quantity of these liberation struggle records is very small as compared to the complete holdings of national archival institutions, with the maximum percentage of holdings pegged at 2.4% of all the surveyed institutions' total collections. This figure applied to the nine surveyed institutions which responded and this suggests the figure could have been different, had all the twenty three institutions responded. Despite this, the fact remains that the existing records in question are relatively few in number which points to their generation in a time of conflict.

In addition, holdings were overwhelmingly of twentieth century materials and for the two institutions that cited their holdings dating back to 1893, this was due to a question of misrepresentation on the cut-off point as to what constituted liberation struggle archives. The media cited by respondents varied, with photographs, paper, electronic records and audio-visual material being predominant. The varied media existing dovetails with Dearstyne's (1993) definition that a record means any type of recorded information,

regardless of physical form or characteristics, created, received, or maintained by a person, institution, or organization. Liberation struggle archives are a unique type of record with enduring value and which are a treasured national asset. The 2.4% might appear insignificant but constitutes a unique collection on the history of the liberation struggle, the reconstruction of which would be amiss without this record. Kukubo (1990:9) correctly pointed out that the preservation of a country's history depends on how its cultural property has been organized and preserved.

The records of the surveyed institutions were predominantly photograph-based which showed the importance that was attached to photo-documentation during the emancipation crusade. Photo-documentation of events as they happen, as noted by Durrani (2000:15; Currathers 2000:27), gives an instant authenticity to events. From the figures in Table 1 presented in the previous chapter, it is discernible that the holdings of most archival institutions in this study were predominantly photograph-based but other record formats like paper, video tapes, maps and audiotapes also constituted significant collections. One informant noted that photographic collections were an embodiment of the struggle and remained a prized possession that was revered.

The predominance of photographs over the written document lends weight to the fact that it was difficult to sit down and write information in view of the war situation and more importantly, it would have compromised security operations. Sturges (2004:437; Sturges, Katjihingua and Mchombu 2005:735) drew attention to the notion of covert and overt aspects in liberation movements' information and communication activities. Liberation movements tended not to generate paperwork in the same way that governments and bureaucracies do. The fear of capture and interception of communication was a major contributory factor which discouraged written documentation.

Consequently, it is therefore not surprising that the bulk of national liberation movement records are in image form. Hendriks (1984) observed that while

paper has been the predominant document material throughout the centuries, it is steadily supplemented – and sometimes replaced by photographic materials. In the surveyed archival institutions, photographs are viewed as an embodiment of the struggle and in view of the legislation in force, they fall firmly within the ambit of archival items. Thus, archival materials have been defined to include papers, documents, registers, printed materials, maps, plans, drawings, microfilm, photographs and sound recordings of any kind whatsoever.

Savumthararaj (1995:4) and Hendriks (1984) posited that historical photographs in archival institutions offer unique possibilities for use as historical source materials in research, publication and exhibitions. This is not surprising considering that still photographic images form an integral part of a country's visual heritage.

A definition of what constitutes a photograph will suffice. According to Pearce-Moses (2005; Savumthararaj 1995:7), a photograph is an image mechanically rendered through the aid of a camera. It constitutes the objective representation of reality as seen through the view-finder, and by anyone else who may have been present at the time the photograph was taken. The picture making process is based on selection and there are five issues of selection by the photographer that become inherent elements of a photographic image (Savumthararaj 1995:7):

- i. the subject;
- ii. the detail;
- iii. the frame;
- iv. the time; and
- v. the vantage point.

The subject the camera records remains the most important characteristic of photographs. Each photograph portrays the scene of subject only in the moment of time in which it was made. Though the subject is usually

paramount, generally speaking most of the photographs in archival collections have one or all of the above five elements.

The acquisition of historical photographs is an important function of archival institutions and the acquired photographs will have certain values that fit well with the institution's acquisition policy. Roberts (1993:427) stated that the principal values of photographs tend to be informational. With regard to the surveyed institutions, the photographs in the collections lent weight to the value that was attached to the liberation struggle. The collection drive was oriented towards individuals and families of prominent people whose reminiscences epitomized the liberation struggle.

The Namibian Archives of Anti-Colonial Resistance and the Liberation Struggle (AACRLS) Project under the auspices of the National Archives of Namibia is also striving to capture these reminiscences. The SWAPO Party Archives (SPARC) in Namibia has in custody a photographic dossier on the struggle for liberation in that country with much of the focus on the deification of individuals who were the architects of the struggle. The dossier, *Sam Mujoma: the liberation years* published by the Ministry of Information and Broadcasting and others (2005) is a good example of this. Similarly, the National Archives of Zimbabwe in conjunction with the National Museums and Monuments of Zimbabwe and the University of Zimbabwe have jointly embarked upon a project in which they are documenting reminiscences pertaining to Zimbabwe's struggle for emancipation.

6.1.2 Reappraisal of national liberation records

Pearce-Moses (2005) defined reappraisal as the process of identifying materials that no longer merit preservation and that are candidates for de-accessioning. Daniels (1988:65) mentioned that the appraisal of records for long-term retention in an archival repository should not be viewed as a promise that they will be permanently retained: they may thus be disposed of. Reappraisal therefore offers a systematic means of reviewing an archive's holdings on a regular basis to identify records that may have been appraised

erroneously or brought into an archives without an appropriate appraisal. McKemmish, Reed and Piggott (2005:176) pointed out that revisiting an earlier appraisal decision is a vexed and contentious issue as each generation will have different views and different priorities on what to maintain as archives.

From Figure 1 in the preceding chapter, it is observable that seven (87%) of the respondents were not undertaking reappraisal whilst one (13%) confirmed that retention review was an important process in their archival management. The non-undertaking of reappraisal by the majority of the surveyed institutions is because the records in question are so few to merit review and their uniqueness stems from the fact that they represent an important chapter in the histories of these nations.

As expected, physical shortages of space were acknowledged by most of the surveyed institutions but with the onset of new digital technologies, the virtual archive appears alleviating this accommodation problem. However, the shortage of space could be partially solved by undertaking a reappraisal of the institution's holdings to ensure that an archival repository's limited resources are devoted to the care of those records most valuable.

6.1.3 Records classification

The process of classification helps describe, organize and control information and Schellenberg (1956:53) stressed that the principles of classification go to the roots of the problem of arranging records (See Section 6.1.4). This classification allows the intellectual control of records, which Millar (1997:14) identified as constituting one of the four elements of the records continuum model – archives management actions relate to the arrangement and description of archives. According to Pearce-Moses (2005) and the IRMT (1999a), classification involves the organization of materials into categories according to a scheme that identifies, distinguishes, and relates the categories. The IRMT (1999a) further mentioned that classification organizes

records into categories, based on the functions and activities the records represent, so that decisions about their organization, storage, transfer and disposal may be made on a category-wide basis, not file by file or item by item. In other words, records classification provides a way of having intellectual control over the records of an agency.

The classification provides a means of knowing what records exist and where they are kept, as noted by the National Archives of Australia (2003:6). It creates order in understanding what an organization does and how it does it. Therefore the essence behind classification is to facilitate the location of records when needed and this classification is essentially based on the principle of provenance and it shows the records' logical relationships with each other. Table 2 in the preceding chapter indicated that four (50%) archival institutions were classifying records by function whilst six (75%) were using hierarchical and keyword/theme classifications.

The classification of records by function traces the origins of records back to an organization's history and to the broad purposes for which it was established. Through this, functional classification thus classifies records according to the specific reasons for which they were created, within those broad purposes (See Section 6.2.1). Generally, function/activity based filing systems provide the most meaningful and most easily understood arrangement of records.

Schellenberg (1956:53) pointed out that these functions are usually defined in the law or directive that establishes the organization. In order to accomplish the basic functions for which it was established, an organization has to engage in two main types of activities which may be characterized as substantive and facilitative. Substantive activities are those relating to the technical and professional work of the organization, work that distinguishes it from all other organizations. Facilitative activities are those relating to the internal management of the organization, such as housekeeping activities that are common to all organizations (Schellenberg 1956:54).

In a nutshell, functional classification as the term suggests involves organizing materials on the basis of the function, activity or task performed by an organization to fulfill its mandate, instead of by department, name or subject. According to the National Archives and Records Service of South Africa (2003:12), a file plan and an appropriate storage system which form the basis for functional classification apply to both paper-based correspondence system as well as electronic records. In addition, as earlier stated, the mission statement of an organization serves as the foundation from which the functions of that particular institution can be extracted which facilitates the classification of records by function.

It can thus be discerned that classification of records by function is closely linked to mission statements and in the surveyed institutions, the overall objective was to preserve the historical record for the benefit of posterity. Linking this objective to functional classification, it can be argued that the classification of these archives through function is for the mission objective of preserving the historical record of the liberation struggle era – i.e. of preserving a record of the activities and aims of the national liberation movements within their historical contexts - in the respective countries in east and southern Africa. However, most (75%) of the surveyed institutions did not employ the functional method of classification, perhaps because they contained records other than those of the former liberation movements. However the explanation may be linked to the confusion in distinguishing between the different functions.

This brings us to the other classification methods mentioned above, namely hierarchical and keyword. Surprisingly, hierarchical and keyword classifications (75%) for example, were popular in the surveyed institutions. The reason for their popularity could be that it is sometimes difficult to make a clear distinction between functions and this can lead to confusion in assigning files to their proper place in the classification scheme. In some cases functions cannot be easily subdivided into convenient or workable

categories. This might explain why there was a preference for other methods that did not depend on precise categorization.

One such method is keyword classification or better known as controlled vocabulary classification. Keyword indexes file records to their broad themes and accommodate the insertion of new subjects and activities as they arise. Keywords can thus represent functions, activities, transactions, subjects, themes or even proper names. According to the IRMT (1999a), the keyword system is particularly useful for filing systems in which the hierarchical structure of, or relationship between, functions and activities are not easy to distinguish or are subject to change. It is also a useful system in cases where staff do not have the skills to analyze hierarchical relationships effectively. Threefold advantages of keyword classification are as follows:

- i. Once mastered, it is easy to use;
- ii. Provides a relatively simple classification scheme; and
- iii. Allows expansion and insertion of new files.

Turning to hierarchical classification, this method of classification forms a tree like structure, usually at the administrative level with multiple levels if necessary. Hierarchical classification, like the other methods, organizes related files in order to facilitate retrieval, but it specifically breaks down the business of an organization into a hierarchy of levels. The number of levels in the hierarchy will depend on the degree to which the organization's work can be broken down into well-defined areas. According to the IRMT (1999a), hierarchical order is the normal method of arrangement when a series consists of the archives of a body with a clearly defined structure reflecting levels of importance or activity: for example a committee followed by its subcommittees. Three distinct advantages synonymous with hierarchical systems are as follows:

- i. Easily understood, provided system is well-designed;
- ii. Allows large expansion in number of files; and
- iii. Can show logical relationships between records.

The foregoing reasons might explain why there was this preference for hierarchical and keyword classification systems in the surveyed institutions. Numeric filing systems arrange records by number. In the surveyed institutions, numerical classification was the least popular as only one institution (12.5%) was using this method. This was not surprising considering that this classification was commonly used in the past for policy and administrative files but has now been largely discarded.

According to the IRMT (1999b), while numerical systems can give greater precision, they are liable to human error. It is easy to confuse or transpose numbers in strings of four, five, six or more digits and consequently misfile papers or misplace files. What this means is that one miskeyed digit can cause a misfile. One important advantage of running number systems is that they give each new file the next number in a running sequence irrespective of the subject of the file. A plus factor is that a numbering system uses storage space efficiently since gaps do not have to be left or made within a sequence to accommodate new files (IRMT 1999a). On the whole however, filing methods have advantages and disadvantages which explains why organizations employ a combination of methods.

6.1.4 Arrangement of records by qualified personnel

The arrangement of records by a qualified archivist is a prerequisite when it comes to the issue of provenance or *respect des fonds* and original order, as this ensures that the integrity of the records in question is not compromised. These two guiding principles have been universally acknowledged and applied since the end of the eighteenth century as modern archival history is traced to the French revolution. Roe (2005:9) remarked that the principles of provenance and original order are the foundations of archival arrangement and description. In essence, it simply means that archives of a given records creator must not be intermingled with those of other creators. It follows then that archivists must know how to arrange and describe their archives at all

levels – namely, those of the repository, record group, subgroup, series, filing unit, and individual item – so that the physical and intellectual integrity of the archives can be maintained and protected, and so that they can be easily used (Bradsher 1988:11).

With regard to the surveyed institutions, seven (77.8%) confirmed that this task was being executed by qualified archivists. This revelation is a positive development considering that provenance is the fundamental principle of modern archival practice. Mazikana (1990) observed that common archival practice sees the archives in the first instance being arranged according to the creating entity and the history thereof, as a way of showing the manner in which the archives were created and accumulated.

This approach underscores the fact that records have content and context. What this means is that the factual data and insight into the circumstances that led to the birth of the records are inseparable. Provenance is crucial because it reveals important information about the context in which records were created and it is this context that influences the content and coverage of records and can provide information on the attitudes reflected by the records (Roe 2005:9). To reiterate, the provenance principle is an important reference point that constitutes the foundations of the archival discipline. The principle of original order involves keeping records in the order in which they were kept by the person or organization that created, accumulated, assembled or maintained them. In consequence, this means that the groupings, file system, subdivisions and other physical structuring provided by the records creator should be maintained. Keeping records in the order the creator kept them provides information about the context and use of those records.

6.1.5 Finding aids used

One of the most important functions of an archival institution is to make its documentary materials available to the general public. This basic task is fulfilled by describing them in the form of finding aids through which users would be able to track down and locate the records they need. Hunter

(2003:131) defined finding aids as descriptive media, published and unpublished, created by an originating office, an archival agency or a manuscript repository to establish administrative and intellectual control over holdings. Hunter (2003:131) elaborated that finding aids provide administrative control in these notable ways:

- i. give the location of the collections on the repository's shelves;
- ii. identify the source or provenance of the collections. This provides an important link in the "chain of custody" should it ever be necessary to document for legal reasons the administrative history of a collection; and
- iii. outline the general contents of collections so that archivists can provide reference services from the moment the collection reaches the repository.

In terms of intellectual control, Hunter (2003) noted that it assists staff and researchers in the following ways:

- i. finding aids sketch the general nature of a repository's holdings;
- ii. finding aids identify the general contents of individual collections;
- iii. finding aids provide researchers detailed information about individual collections; and
- iv. finding aids summarize information on a specific topic available in several collections.

Schellenberg (1965:108) noted that it is the duty of an archivist to open up the research treasures that are entrusted to his/her care, not to hoard them and keep them from others. Jenkinson (1937:115) agreed and noted that after archives have been arranged and put away on shelves, the aim of the archivist should be to give a complete exposition on paper of the arrangement that has been given to the records. According to Edgecombe (1993:248), the objectives of a descriptive programme of this sort are twofold: to make records known to potential users and to facilitate the archivists in searching for them in the repository. Edgecombe (1993:249) further submitted that the

effectiveness of finding aids assists in the preservation of material by reducing the handling of archives needed to locate information.

Archivists therefore employ a variety of finding aids which facilitate communication between users and archival repositories. The descriptive tools in use at the archives under study included inventories, catalogues, card catalogue and descriptive lists. A closer examination at each one of these will now be undertaken.

A combination of nearly all the types of finding aids listed was prevalent in the surveyed institutions. As expected, inventories or summary lists (33%) were the most popular as summarized in Figure 2 of the preceding chapter. An inventory is a finding aid that lists and describes in varying degrees of detail the contents of one or more archival groupings, such as record/archive groups, fonds, classes or series. Such inventories usually include a brief history of the organization and functions of the originating agency, institutions or organization and if appropriate, indexes (Savumthararaj 1995:77).

Inventories, sometimes referred to as structural lists or registers, provide a summarized but complete exposition on paper of the arrangement that has been given to archives. The key to this arrangement is to understand that archives are generally described in terms of their authorship (provenance), type, title and structure, regardless of whether the units being described are large or small (Miller 1990:93). Inventories are prepared in a run-on fashion, that is, they are quickly prepared with the information given being condensed in two portions – the first consisting of introduction and the second of list of series or groupings. The reason for the popularity of inventories was thus because they are used to simply and accessibly describe records collectively by groups or series and as such they remain the basic archival finding aid.

In archival institutions, different types of record collections lend themselves to different types of finding aids. In the surveyed institutions, a smorgasbord of descriptive tools was being employed to convey information about the holdings of an archival institution. Finding aids may thus be comprehensive or

limited in their coverage, general or detailed in their descriptive data and pertaining to record units of various sizes.

In most instances, inventories serve as means towards the end of preparing comprehensive finding aids, such as guides or lists. The latter were cited by four institutions (19%) as equally significant in their descriptive media.

Descriptive lists are the most effective means of locating files and this explains their use in the surveyed institutions. A fully developed list involves four elements and these are as follows:

- i. an explanatory introduction which informs the user where archives come from, and give some basic facts about their origin, content, size (bulk) and physical character;
- ii. preparation of the list proper on a ruled listing paper (one side only) with the following column with headings; serial number or code number, date, description and reference number or file number. A good list must contain for each item the nature of the document, names of the principal places and people mentioned in the document, important contents of the document, covering dates and approximate number of pages;
- iii. a layout which makes the list explanatory on how it was prepared, and which breaks up the text under headings of series and subseries, based upon the original structure of the archives;
- iv. an index at the end which includes names of person and places and subjects mentioned in the documents that are listed. An index helps the researcher to locate the files in shortest possible time and the index to the list needs not be too exhaustive (Savumthararaj 1995:34; IRMT 1999a).

It should be pointed out that there are many types of lists like numerical lists, abstract lists, transfer lists and so on but descriptive lists were indicated by respondents as being the most commonly prepared. Observation visits

confirmed that these existed in cyclostyled form and at times, they were photo-copied to save money, time and energy.

The catalogue (24%) was the second most popular finding aid (after inventories) which points to the wide scale automation of archives. The card catalogue (10%) was the least used by respondents which evidently points to the fact that the tools used for the descriptive media were undergoing metamorphosis into electronic versions. Hunter (2003:134) observed that prior to the introduction of archival automation; there probably was no better way to provide subject access to collections than through a card catalogue.

Respondents also cited indexes (14%) as constituting part of their descriptive media. It is often said that one of the ways of judging the quality or at any rate, the maturity of an archival institution is to see the extent of its indexing programme. An index or item list is an important tool that points readers to the relevant holdings thereby making economical usage of time to the benefit of the user and the archivist. Pearce-Moses (2005) defined an index as an ordered list of terms, keyword or concepts contained in a set of archives or a file, document or finding aid, usually in alphabetical order, with pointers to the locations of those terms, keyword or concepts. Experience has demonstrated that many readers come to the archival institution in pursuit of a specific enquiry but do not know which group or series may contain the information they seek. To direct these users and to exploit the archival holdings fully, it is useful to construct an index that will highlight names, places, events and subjects. Indexes are therefore useful tools in the hands of an archivist as the process of indexing determines the name under which a document is to be filed.

6.1.6 Existence of published guides

The descriptive tools reviewed in the above discussion are all designed primarily for use inside the repository. Archivists supplement these internal tools with other descriptive media designed for external audiences and one such tool is a guide. Schellenberg (1956) mentioned that from the public's

point of view, the guide is the first publication that should arrest the attention of the archivist. A researcher is expected to obtain from the guide immediately a general but comprehensive knowledge of the holdings in a repository. Edgecombe (1993:253) noted that the guide is intended as an on site orientation to the archives. From here, the researcher can proceed to descriptions like lists which provide specific information about particular record groups that might be of interest. The guide as the name suggests is designed to lead researchers to documentary material relevant to their inquiry, hence the need for it to be schematized.

The schematization is done by revealing the archives' holdings contents in a table of contents and by the arrangement of entries in a logical order. Each archival group which forms a chapter should be listed in the table under provenance or administrative headings. Each chapter should contain historical information about the government body or other organization that produced the archival group.

Miller (1990:105) pointed out that before co-operative automated systems, published guides were indeed the only way to disseminate information about holdings. Guides still provide an important method of access to the holdings of many repositories although of course the information is only current to the date the guide was published. In the surveyed institutions, as seen from Figure 3 in Chapter 5, it is observable that seven (77.8%) of institutions did not have any published guides as compared to two (22.2%) who did.

The lack of published guides could be because of the inroads that ICTs have made in the way information is communicated and because of the resulting marked shift from manual to automated systems. Another reason could be that considering that the majority of archival institutions are operating on shoe string budgets, such guides are only prepared on specific themes to cut down on expenses and in view of the time consuming nature of the process. Of the 22.2% which had such guides, one institution had these in published format whilst for the other institution they were yet to be published. The

institution with published guides had posted these on the web. This information was corroborated by observation and interviewing schedules upon visitations to the institutions.

6.1.7 Register of accessions

It was noted earlier that having an official record of items received by an archival repository is the hallmark of sound archival administration. To realize this objective, the most important source of documentation for basic control is the accession register. The IRMT (1999a) pointed out that the accession register is a legal document and must be securely kept as a vital record for eventual transfer to the archives. This is because the accession register records custodial information which facilitates the running of the archives. The IRMT (1999a) thus defined the accessions register as a formal document that records the archival repository's acceptance of responsibility for the archives that it documents and the transfer of custody of the archives to the archival institution. Brunton and Robinson (1993a:215) pointed out that the accession register is the basic document for all subsequent control and processing of the collection.

The accessions register contains the following information, recorded in columns (IRMT 1999a):

- i. accession number;
- ii. date received;
- iii. details of archives (series number if known, title or description, covering dates;
- iv. number of boxes or quantity;
- v. source, transferring agency or depositor;
- vi. archival references;
- vii. remarks (including variations to the statutory closed period);
- and
- viii. date action completed.

In the surveyed institutions, six (66.7%) confirmed they had an accessions register compared to two (22.2%) who did not. The fact that the majority of the surveyed institutions confirmed the use of this register lends weight to the importance attached to this vital record. In some of the surveyed institutions, it was observed that the register was being made available to researchers, which is a positive development in terms of enhancing access. However, some discrepancies with regard to the consistent administration of accession registers was also noted.

6.2 MECHANISMS, POLICIES AND PROCEDURES FOR RECORDS AND ARCHIVES MANAGEMENT

The need to establish the existence of mechanisms, policies and procedures for records and archives management in the surveyed institutions constituted the second objective of this study. The data interpretation is therefore presented under the following:

- i. mission statement;
- ii. archival management policy;
- iii. media for duplicate copies;
- iv. restrictions on archives;
- v. policy issues with regard to requests, publications and access;
and
- vi. challenges to managing liberation struggle archives.

6.2.1 Mission statement

A mission statement reflects the core values and vision of an organization and this document is usually enshrined in the organization's strategic plan. It was positive to note that all the surveyed institutions had a mission statement and a content analysis of the mission statements showed that these explicitly spelt out the mandate of the institutions. Mission statements serve to articulate the organization's purpose, business and value. Williams (2006:204) observed that a mission statement should explain briefly why the archive exists and what it sets out to achieve: it has to be succinct and to persuade its

stakeholders of its values and ethics. The IRMT (1999c) submitted that the way to ensure that the accessibility of archives is guaranteed in the long term is to ensure that records and archives development is tackled as a strategic unity, rather than piecemeal. This strategic unity is encapsulated in a mission statement

The IRMT (1999d) stated that mission statements articulate the organization's purpose or function and provide the philosophical framework within which the organization's plans and strategies are formulated. A mission statement consists of four main elements (IRMT 1999d):

- i. a statement of the organization's overarching purpose or mission;
- ii. a vision of what the organization would like to become;
- iii. a statement of the organization's core values and beliefs; and
- iv. a statement of the organization's goals or how it will reach its vision.

The enunciated elements were spelt out in the mission statements of the surveyed institutions which explained the strategic drive the institutions had to justify their existence. This strategic drive centred on the preservation of important historical records, a fact that was not surprising considering that liberation struggle records remain a national heritage asset within Southern Africa of fundamental importance. Archival institutions are thus mandated to be watchdogs over liberation struggle archives and should ensure their access, use and storage for the benefit of the public. The surveyed institutions were to varying degrees – as revealed in this study - carrying out this function as exemplified by their mission statements. The mission statements in turn were closely interwoven with the regulatory framework in place. The mission statement of the SWAPO Party Archives (SPARC) for example is:

To collect, record and preserve the history of the SWAPO party.

The mission statement of Alan Paton Centre and Struggle Archives is:

To collect, preserve and conserve documents, manuscripts, papers, books, journals, tapes, videos, posters, artefacts and information on aspects of resistance to apartheid in the KwaZulu-Natal Midlands of South Africa.

Meanwhile, the mission statement of the National Archives of Zimbabwe is:

To acquire, preserve and provide access to documentation in whatever format which comprises a legal and historical record of Zimbabwe's past and present.

The present research also sought to find out whether mission statements existed in written form. Seven (77.8%) had the mission statement captured in written format as compared to two (22.2%) which did not. It was disturbing to note that two (22.2%) archival institutions did not have a written mission statement because this calls into question their ability to justify their existence. As Ngulube (2003a:286) pointed out, without a written mission statement, it is difficult to effectively execute an organization's core programmes. Allied to mission statements was the issue of policy which Ngulube (2003a) observed to be obfuscated amongst South African archival institutions.

6.2.2 Archival management policy

Williams (2006:210) stated that the instrument that more than any other encapsulates an archive's mission, aims and objectives is an archives policy. The importance of a policy cannot be overstated and research by Mnjama and Wamukoya (2004) and Ngulube and Tafor (2006) submitted that one of the main causes of archival underdevelopment in Africa was the absence of a formal written policy. As observed by Ngulube (2004:148), policies give archival institutions the strategic direction they require to initiate any measures which are necessary for the protection of archives. Accordingly, threefold attributes that are synonymous with having formal written policies

include ensuring consistency, codifying the information and standardizing operational procedures.

Schwirtlich (1993:26) defined an archival policy as a broad written statement that outlines the purpose, objectives and conditions which define the scope of archival activities, the authority under which they operate and the service offered to clients. According to the IRMT (1999d), the term policy indicates a high-level overall plan embracing general goals and acceptable procedures. In short, policies inform users what is expected of them and give staff members guidance regarding the boundaries of their service (Dunlop 2009:222-223). Schwirtlich (1993:26) further stated that an archives policy is designed to achieve the following:

- i. it is a public statement of purpose and objectives of the program;
- ii. it defines the scope of the archives collections and establishes general conditions for access to them;
- iii. it provides a legal and authoritative basis for the archivist to exercise all of the powers and perform all of the responsibilities and functions with which s/he is invested by the governing body of the parent institution; and
- iv. it facilitates consistency, uniformity and impartiality in the procedures and conditions adopted for the management and use of archives.

Table 5 in the preceding chapter communicated the levels of formal written policies with regard to archival management practices in the surveyed institutions. Formal written policies were generally in existence and were calibrated at various levels depending on an institution's collection priorities. The policy pertaining to acquisition (50%) was a priority compared to policies relating to description of archives, retention scheduling and custody and control at 25%. Policies applying to preservation, processing, reference service provision and storage were pegged at 37.5%.

This emphasis on acquisition could be that this was viewed as fundamental and everything else was thought to be secondary – the trend appears to be

capture first and document later. This pattern could explain the need for the liberation struggle documentation projects recently undertaken in Namibia and Zimbabwe. The Namibian Archives of Anti-Colonial Resistance and the Liberation Struggle (AACRLS) Project under the auspices of the National Archives of Namibia is one example, while the National Archives of Zimbabwe in conjunction with the National Museums and Monuments of Zimbabwe and the University of Zimbabwe, documenting reminiscences pertaining to Zimbabwe's struggle for emancipation is another. Meanwhile, at the Alan Paton Centre in South Africa, "Recording the Anti-apartheid struggle in KwaZulu-Natal" is the title of that institution's Oral History Project which is broad based and not focused exclusively on liberation struggle movements as is the case in Namibia and Zimbabwe.

6.2.3 Media for duplicate copies

It is standard practice in most archival institutions to obtain copies of archives and manuscripts when the originals are unobtainable. The media used to acquire these copies varied from one institution to the other as is illustrated in Table 6 in the preceding chapter. Three (33.3%) confirmed that digital copies were the most popular and three (33.3%) also confirmed that they did not have microfiche compared to one (11.1%) response that showed the usage of microfilm to acquire the copies. These findings were quite interesting and reveal a gradual shift from microfilm to digital technology.

This revelation was corroborated by the use of digitization as the most popular preservation strategy (See Section 5.4.1). It cannot be denied that digitization has transformed the information landscape. Ngulube (2002:121), mentioned that its growth in popularity within the archival community is because the strategy seems to offer excellent prospects for significant benefits for both archives and users namely ease of access, use of surrogates in place of originals, high storage densities and so on.

Archival institutions appear to be moving with the times in search of permanence which is appropriate considering the present high-tech milieu.

This represents a great leap forward which shows that the profession has made a critical decision in its search for relevance in the new millennium. It should be noted as well that donor funding in digitization projects has been instrumental in enabling this to be realized. Currall and Moss (2005:124-127) asserted that the need for conservation, improved access and the need to satisfy donor requirements constitute the three principal drivers for digitization in the heritage sector.

Others have argued that the attraction of digitization is largely due to the following reasons (Adcock, Varlamoff and Kremp 1998:64):

- i. digitizing offers quick access to multiple users world-wide;
- ii. images can be electronically restored and enhanced;
- iii. high quality user copies can be provided;
- iv. automated retrieval aids can be provided;
- v. high storage densities compared with paper and film; and
- vi. use of surrogates in place of originals thereby enhancing the preservation drive.

Preservation in the digital world is a site of contestation and it can be argued that digitization is not as such a means of preservation. Lor (2008:119) submitted that despite the cited advantages, the digitized medium is vulnerable and ephemeral. Shep and Gorman (2006:188) pointedly commented that despite the growing move from microform to optical disk, we are uncertain of the stability of optical disk technology and of its viability in terms of long-term storage and retrieval. This view was also shared by Reed (2006:117) and Ngulube (2002:121-123) who stated that digital resources are fragile, vulnerable and in need of constant attention in order to exist in both the short term and long term.

In view of this instability, Lor (2008) suggested that if long-term preservation is the objective, preservation of originals and preservation microfilming may be more appropriate. Despite these attendant problems, it remains a fact that no cultural heritage institution can afford to postpone the challenges of

managing the digitally born artifact, which has multiplied enormously and often numerically dominates all other formats (Reed 2006:117). Ngulube (2004) also noted that the cultural heritage of sub-Saharan Africa is under grave danger due to the problems accompanying these technological advances. In a nutshell, the opportunities and challenges provided by digital technologies need to be confronted head-on in an effort to settle for the best compromise.

6.2.4 Restrictions on archives

Records keeping reflects power and control. Embargoing archives (making them “off-limits”) for particular reasons is evidently a delicate area in the field of archival management. Kepley (1988:166) espoused the view that access largely hinges on the laws of a country and the restrictions placed by donors. Currently it is fashionable to talk of “freedom of information” laws which render access to information as a fundamental human right. Valge and Kibal (2007:193) posited that public access to documents is a fundamental human right and freedom, and a condition for the free exchange of ideas in a democratic country. Cox (2009:219) cited Vismann (2008) who noted that the state compiles records and society demands their disclosure. In consequence this means records in a democratic society should be open and accessible.

The IRMT (1999c) stated that the access provisions of any records and archives legislation should be compatible with any freedom of information or privacy legislation and vice-versa. Within the ESARBICA region, South Africa’s Promotion of Access to Information Act (PAIA) of 2000 provides an attempt to grant the constitutional right to access information, held in state and private domains, by its citizens. However, evidence on the ground points to the fact that in South Africa today, there are signs of a retreat from the openness and transparency of the early 1990s towards greater secrecy (Dick 2005:11). Stilwell (2008:151) concurred and commented that the “generally cavalier” attitude displayed by some institutions in their non-response to requests for information as dictated by PAIA reflected a lack of understanding of the role of government accountability and transparency.

Morrow and Wotshela (2005:328-329) submitted that the ANC records of the exile settlements in Tanzania, for example, were transferred to Fort Hare University Archives in September 1992 for open public perusal. However records of overseas ANC offices were subsequently sent to ANC headquarters at Luthuli House (formerly Shell House) in Johannesburg. Public access to these archives is now more difficult than ever before (Morrow and Wotshela 2005:328-329).

The foregoing restrictive tendencies by the ANC is typical of former national liberation movements now governing parties. In view of this situation, according to Chachage and Ngulube (2006:2), the passing of "FOI laws" in some countries underscores the need for records to be managed so that they will be available when citizens request to have access to them in terms of the law. Mnjama (2000:53) echoed similar sentiments and further advocated that custodians of government information should be involved at every stage during the formulation and development of FOI legislation. What this means is that archivists must be completely conversant with the laws in their jurisdiction that regulate access, as well as any donor-imposed restrictions on personal papers (Kelly 1998:166).

Seton (1984) observed that archivists, in their natural enthusiasm to acquire important or valuable private archives, may find themselves agreeing to very restrictive conditions of access. In the surveyed institutions, the responses to restrictions on archives were varied as issues of confidentiality and copyright were brought to the fore. Allied to respecting the wishes of the donor was the issue of policy decision by the archival institutions. The need to pay research fees, restrictions on photocopying of the copies outside the institution and non-borrowing of this material were cited by a respondent. For one institution, there was no standing official policy; others were yet to formulate such policy. In situations where archives were unarranged or unlisted, these were justifiable grounds to deny access. Finally, the need to respect the wishes of the donors was equally important.

The majority of respondents stated that access was limited to persons authorized by the owners. In some cases, particularly where sensitive material or copies of official papers were concerned, restrictions on access were decided in consultation with the head of the archival institution. Such restrictions were usually for a period of time, for example during the life-time of certain individuals or, in the case of official papers, for 25 or 30 years. It is therefore crucial that archivists should always bear in mind that the passage of time is one determinant that permits the release of information simply because all data, no matter how sensitive, lose their sensitivity over time (Kepley 1988:167).

On the other hand, such privacy concerns and democratization of information are not the only reason that affects the consultation and dissemination of archival information. Blais (1996) stated that the conjecture of technology and information has set in motion the electronic revolution which is redefining human interaction. The digitization of liberation struggle archives for instance is illustrative (both in a negative and in a positive sense, as indicated above) of the need to promote access and enhance the preservation drive, arguably though.

6.2.5 Policy issues with regard to requests, publications and access

An organization keeps information resources to support its operations and policy should therefore link up with the organization's overall mandate and mission statements (National Archives and Records Service of South Africa 2003:66). Access is a crucial aspect that an organization's policy should address. Mnjama (2009) noted that access to records and archives is a very important part of their function in society and there is a need for the general public to be made aware of the treasures the archival institutions are holding on their behalf. The carrying over of this message to this general public was referred to by Dearsytne (1993:197) as promotional marketing. Other terms that are used interchangeably with regard to the effort to raise awareness of archives within society and promote their use are public programming, outreach or archival advocacy. Harris (1993:5) defined public programming as

that group of activities whereby archival institutions secure both responsiveness to user needs and public participation in all their functions. Harris (2000) further remarked that public programming is the surest proof of archivists having embraced the notion that use is the ultimate goal of all archival endeavours.

Pearce-Moses (2005) defined outreach as the process of identifying and providing services to constituencies with needs relevant to the repository's mission, especially underserved groups and tailoring services to meet those needs. What can be discerned from these foregoing definitions is that archival programming has a dual purpose as it is focused on users in an effort to endear them to the institution and on raising the profile of the organization as well. Ericson (1990-91) also noted that opening up the holdings of an archival institution generates their increased usage.

Hunter (2003:229) pointed out that one of the frustrating things for an archivist is to know that the collections have great research value, but that they are underutilized because very few people are using them. In fact, information gains value when utilized and to realize this objective, one of the tools used by archivists to raise consciousness and recruit new users is publications. Pederson (1993:330) suggested that one way of raising the profile of an institution and minimize expenses is for an archive to approach established scholars and publishers who specialize in documentary works in a publishing drive.

In the surveyed institutions, users (provided they acknowledged the institution as the source) were being granted permission to publish extracts from archives relating to liberation struggle archives as all (100%) confirmed, though that right to publish could be reserved if material was deemed sensitive.

Four (44.4%) confirmed the existence of guidelines for identifying requirements to facilitate access as compared to five (55.6%) without such guidelines. With regard to the issue of liberation struggle archives being

currently open to use, all (100%) confirmed that access was open. On whether users were made aware of their access rights and responsibilities to comply with policies and regulations of the institution, seven (77.8%) observed this routine practice as compared to two (22.2%) who did not.

What these findings confirm is that there were generally standing ethical procedures to protect the institution and users when it came to the management of liberation struggle archives, although, as indicated above, the nature of and sensitivity pertaining to liberation archives meant that some of the information was less easy to access.

6.2.6 Challenges to managing liberation struggle archives

Table 7 in the preceding chapter revealed that the challenges in place when it came to managing liberation struggle archives were uniformly distributed across the board. Three (50%) indicated the prevalence of backlogs as a major challenge and two (33.3%) each cited the issues of finding aids, lack of equipment and records deterioration as constituting their major challenges. Only one (16.7%) indicated that physically locating the records was problematic.

The issue of backlogs has been an outstanding problem that has plagued archival institutions for quite some time. The surveyed institutions acknowledged how endemic this problem was. A brief definition of the term is required here. Simply put, materials received by a repository but not yet processed constitute a backlog (Pearce-Moses 2005). Cook (1977:99) suggested that backlogs can refer to mass of un-catalogued material, much of which has come to the repository in a large consignment, and secondly to the mass of material which has been processed and described inadequately or according to obsolete standards in the past. Studies by Garaba (2005) and Mnjama (2006) revealed that archival institutions in eastern and southern Africa were faced with a major challenge of unprocessed records. The primary reasons for these backlogs were shown to be staff shortages as personnel tended to leave for greener pastures.

6.3 SECURITY OF LIBERATION MOVEMENT RECORDS TO ENSURE THEIR LONG-TERM PRESERVATION VIS-À-VIS EQUIPMENT AND AVAILABILITY OF EXPERTISE

The third objective of this study centred on the need to examine the physical security of liberation struggle archives in an effort to ascertain whether their long-term preservation was guaranteed vis-à-vis equipment and availability of expertise.

6.3.1 Staff characteristics and training

The fact that archives are unique and irreplaceable imposes a heavy responsibility on those who care for them. It follows then that the employment of a qualified archivist should ensure a high level of expertise in all aspects on the care and preservation of archives and in making these available to the public. In other words, knowing the number employed, their levels of qualifications be it at professional or administrative levels help to put the organization on a sound professional footing. The United Kingdom National Archives Standard for Record Repositories (2004) stated that the number and categories of staff employed in any record repository should be commensurate with the extent and nature of the records held and with the intensity of their use.

In the surveyed institutions, 23 staff members had training in various aspects of archival management as is indicated in Table 8 of Chapter 5. Considering that in the surveyed institutions, the percentage of holdings oscillated from 0.15% to 2.4% there is congruency. Many of the qualifications (39%) were academic, reflecting that professional archivists were graduates who held either a diploma or primary university degree followed by a subsequent qualification in archival administration or library science.

Kirkwood (1998:118) observed that the need for an appropriate academic background was a prerequisite considering that this formed the basis from which archival skills could be developed. Five (21.7%) staff had training in digital preservation while seven (30.4%) had technical training and two (8.6%) had microfilming training. Despite these skills variation, what is

fundamental is that the right people are in the right place, in the right numbers and with the right competencies (Kemoni 2007:354). Ideally however, the various skills should all be available within each individual institution.

Respondents were also asked their areas of expertise in the preservation and media management of records pertaining to liberation struggle archives as indicated in Tables 9 & 10 of the preceding chapter. Table 9 showed the equality of importance attached to disaster planning, holdings maintenance and preservation planning compared to environmental monitoring which was ranked lowly. These findings show that there was a general lack of consistency in their preservation efforts and the absence of written records to prove that the HVAC was regularly maintained appears to validate this assertion.

Table 10 indicated that the level of expertise was mostly invested in paper-based materials as compared to microfilm, audio and electronic records. Areas highlighted as needing additional training showed that archival appraisal and archival methods were ranked highly followed by electronic records, records management, preservation/conservation methods and public relations, and lastly by training in disaster preparedness and on uses of computers in archives. These findings were not wholly unexpected as research within the ESARBICA region (Mutiti 2001; Ngulube and Tafor 2006) has confirmed that the majority of archival institutions are still paper-based and therefore subscribe to the records lifecycle framework – the shift to electronic records is still in its infancy. This, perhaps largely explains why there was this high demand for digital technology training so as to be compatible with the sophisticated technologies currently available (See Section 5.5.2).

Consequently, this means that the synchronization of education and training in the moulding of archivists whilst a noble idea needs to be an ongoing process and should reflect the changing times. This ongoing process constitutes Continuing Professional Development (CPD) which Crockett

(2007:78) defined as a regime of training, research and contribution in the individual's own professional arena aiming at updating, expanding and enhancing skills, knowledge and expertise. Crockett (2007) further remarked that the goals are to ensure currency of knowledge and skills, competency, and to gain confidence. In other words, the main objective of Continuing Professional Education (CPD) is to bridge the gap between the knowledge, skills and attitudes already held by the trainee and those that are required by the job (Ocholla 2000:43)

Ngulube (2001:155-156) agreed with this view and posited that education and training are concerned with the development of knowledge, skills and attributes necessary for individuals to live meaningfully and to contribute positively to society. Similarly, Yusof and Chell (1998b:26) rightly pointed out that the most obvious way for archivists to enhance their resourcefulness is through education. Bradsher (1988:10) also stated that all archivists should have a working knowledge of all aspects of their profession, including technical specialities, not only to develop their own competence, but also to facilitate dealing with experts in other areas, when they need to call upon them. Ngulube (2001) also submitted that education and training are fundamental underpinnings for improving the management of records and archives in Anglophone Africa.

Similarly, Katuuu (2009:133-145) examined patterns of archival education and training in Europe and North America in an attempt to present "fresh perspectives" to the archival and records management programmes in Africa. Katuu (2009) highlighted a number of fundamental issues with regard to the archival landscape within Africa. Firstly, there is need to balance theory and practice to avoid the dangers of adopting the excesses of the other. In addition, Katuu (2009) mentioned that skill building within Africa needed reassessment in view of the electronic revolution. Liebetrau (2005:23) agreed with this view and noted that human resource skills development is a crucial factor in bridging the technological gap and therefore priority must be given to the development of digital skills and competencies for students in the field

of library and information science. Mention was also made of the need for harmonization of curricula in order to produce a broad based information professional.

It was observed in visited archival institutions that archivists manning these institutions had library science, archival administration or curatorial qualifications which reinforced the “heritage web” or hybrid repository concept – balancing library, archive and at times museum identities so as to uniquely match functions to the needs of various communities. To fully actualize this hybrid repository concept, there is need for curriculum standardization in order to have a broadly and deeply trained information professional or all rounder. Ngulube (2001) stated that this enables one to have portable and comparable qualifications that can be used across the board to harness the advantages offered by the information age. Respondents confirmed that workshops and refresher courses were some of the training avenues that they fully made utilization of in order to enhance their performance as employees.

6.3.2 Type of equipment in custody

Having the right equipment in place facilitates the running of an archival institution (See Figure 7 in Chapter 5). Equipment in archival institutions exists at two levels. Firstly, there is equipment for routine administrative work in the offices and this includes typewriters, word processors, duplicators, photocopiers, and so on. It was interesting to note during observation visits how archival institutions were making headway in the adoption of office technologies. The fact that office equipment scored 88.9% as is illustrated in Figure 7 is remarkable.

The second category of equipment required is that which is used for the handling of archives in one way or another. This equipment falls into three major groupings. In the first instance equipment is required for the conservation of archives.

A primary duty of the archivist as noted by Jenkison (1937) is the physical defence of the archives and the conservation and preservation of the archives to ensure that archives can survive for as long as is possible is part of this defence. Standard storage equipment (100%), which is used to house archives in an environment conducive to their preservation scored highly. It was noticed during observation visits at some of the surveyed institutions that the use of acid-free boxes was prevalent. The packaging in archival-quality boxes acts as a buffer against changes in temperature and humidity and offer protection against dust, pollutants, water, heat and smoke. High density shelving through the use of steel remains popular within archival institutions though it is at times complemented by wooden shelving, which is not suitable as it is both flammable and prone to organic decay as well as to insect infestation. High density shelving provides economic storage of records and steel is non-combustible which explained its widespread use in archival institutions.

As regards conservation equipment, conservation laboratories in which damaged archives can be repaired and restored were in existence in some of the institutions surveyed, and these laboratories were equipped with hygrometers, pH metres, washing basins, drying racks, laminators and binding presses. However conservation equipment scored lower (55.5%) in terms of types of equipment in the custody of the institutions surveyed than that for storage.

Besides the above two categories of equipment used in archives there is a third: reprographic equipment. The reproduction of archives is a necessity in archival institutions. Some archives are reproduced in order to provide researchers with copies of the documents. Reproduction is also done as a means of conservation or as a means of reducing the physical volume of the records or archives.

In the surveyed institutions, reprographic units had equipment for reproducing maps and photographs, slides, films and for microphotography.

Seven (77.7%) of the institutions had reprographic equipment and Mazikana (1990a) observed that it is necessary to have a fully equipped reprographic unit because the work of the unit is a crucial element in the work of the institution. In view of the fact that the bulk of the records in the surveyed institutions is photographic, the situation regarding their reprographic equipment was appropriate and commendable.

Archival institutions are automating (becoming ICT-based as opposed to paper-based) and this is not surprising considering that computers have several highly useful applications in the archival world. For example, finding aids can be automated thereby facilitating access to the records. In addition, online access to the records can be facilitated through digitization. Thus seven (77.7%) of the institutions had information technology equipment. The massive investment in digital technology by donors illustrates the importance attached to automation in archives, albeit the ulterior motives that are synonymous with the politicization of digitization.

6.3.3 Access to records, repositories and use of visitors register

AIIM (2009) defined information access as the findability of information regardless of format, channel, or location. Access encompasses the political, legislative, cultural and social climate in which records and archives are (or are not) made available to people across the world as well as the practical and intellectual means by which access may be delivered (Williams 2006:117). In short, as stated by Hunter (2003:207), access is the authority to obtain information from or perform research using archival materials.

It has been acknowledged by Ngulube and Tafor (2006:73) that one of the major challenges faced by archival institutions in the ESARBICA region is making archival resources available. The issue of access is closely interwoven with ethics and the ICA code of ethics (1996) stated that archivists should promote the widest possible access to archival material and provide an impartial service to all users. Respondents in this study were asked questions

that sought information on how they were granting access to their records and whether users were allowed free access into repositories.

As expected, access to records could be denied on the grounds of the physical condition of the records depending on an institution's access policies, rules and regulations. Seven (77.8%) of institutions confirmed that access could be denied if the records in question were in a poor physical state as compared to one institution (11.1%) which stated to the contrary. It is a standard procedure worldwide that storage areas where archival material is housed are no-go areas for researchers. Unauthorized persons were not allowed to enter storage areas and in one institution visited, members of staff were identified by carrying security passes at all times.

Unsurprisingly, five (55.6%) of institutions confirmed that repositories were no-go areas as compared to four (44.6%) which, surprisingly were granting open access. Those granting open access could have misinterpreted the question to mean guided tours/visits which is part of public programming. The standard practice is that considering that archival materials are unique, researchers should not have access to records in storage areas. McCausland (1993:274) noted that restricting access to repositories facilitates orderly retrieval and return of material as this is limited to a few staff and such practice minimizes the risk of misfiles and pinpoints accountability for any loss or damage. In one institution visited, access to repositories was controlled though having members of staff identified by carrying security passes at all times.

The use of a visitors' register enhances the security status of an archival institution. Jo Pugh (1992:70) mentioned that registration and identification of users are customary means to enhance security of documents and to help ensure that all users have been informed about rules, copyright provisions and other such legal concerns. Most repositories require users to show picture identification and acknowledge the rules for using the materials. It remains a fact that a signed and dated record of visitors in their own handwriting is an

important security tool and Williams (2006:142; Penn, Pennix and Coulson 1994:268) added that the registration of the researcher involves confirmation of the research topic and this registration is necessary:

- i. for security purposes: it conveys the idea that archives are unique and therefore need special care;
- ii. because if we know who our users are and where they are from we can contact them in case of need; and
- iii. so that we understand our users, can tailor service to their needs and use the information for statistical purposes.

Seven (77.8%) of the surveyed institutions had a visitors' register as compared to one (12.2%) that did not. It was observed during site visits that the visitors register was in the vicinity but without anyone consistently administering it. One institution offered reader tickets that the present researcher had to produce during his subsequent visits. Out of the seven institutions visited, four (44.4%) were not enforcing the signing of the visitors register as the present researcher's details were not captured. A cloakroom assists in housing visitors' personal belongings and six (66.7%) of the surveyed institutions had cloakrooms as compared to three (33.3%) that were without.

6.3.4 Stocktaking

Taking stock of an archival institution's collections enables one to identify missing or misplaced items and ensures the adequate care of archives in storage areas (IRMT 1999c). Stocktaking also assists in determining the condition and nature of the collections thus establishing preservation requirements. Ngulube (2003:297) stated that the examination of the condition of collections in archival institutions is enabled through the undertaking of a stocktaking exercise. For Ward (1990:59), unlike for Ngulube (2003) noted that this act of documentation entails recording the nature, type and volume of collections in an institution. For Ward (1990) it is a description of the contents of a repository to facilitate retrieval. The present study

established that four (44.4%) of archival institutions were either doing it once a year or not at all. In interviewing sessions, respondents noted that write-offs were made when items were detected missing or in some instances, items missing were taken note of by keeping a register of items not found.

6.3.5 Storage conditions

Archives can be housed in a variety of locations be it purpose-built or adapted buildings and as such, storage remains an overarching preservation activity. Chida (1994:26) observed that much unwarranted damage to archival materials is through improper storage. Four (44.4%) of archival institutions kept archives relating to liberation movements separately from other holdings as compared to five (55.6%) who were not. Conversely, five (55.6%) of archival institutions confirmed that the area where these liberation struggle archives were housed had continuous air-conditioning and humidity control compared to four (44.4%) who did not have such a facility.

According to Williams (2006:184-185), good storage complemented by packaging provides a buffer against changes in temperature and humidity and offer protection against dust, pollutants, water, heat, smoke and pests. A visit to one of the surveyed institutions revealed that archival collections were stored in locked stackrooms with airconditioners and dehumidifiers in order to monitor temperature and humidity. Documents were also housed in acid-free paper folders. To the contrary, in one institution visited for example, the storage conditions of the records under investigation were deplorable and it was a difficult task to sift through the material as it was heaped on the floor.

In addition, exposure to light, especially to ultraviolet rays, has a damaging effect on documents. Cunha (1988) observed that sunlight, and the ultraviolet energy always associated with it, physically destroy organic materials and accelerate oxidation and acid hydrolysis. Light has been labelled as the silent destroyer as its degradation of the structure of most media is invisible to the naked eye. Williams (2006:184) pointed out that this damage is cumulative and irreversible and in areas where archives are stored, the sun

should be blocked out and ultraviolet filters placed over windows and light fittings. With regard to the presence of windows in storage areas, six (66.7%) of archival institutions had these in storage areas as compared to three (33.3%) without. Three (33.3%) confirmed that measures to counter the damaging effects of light were in place. This was validated by observation at site visits as storage areas had lights that were triggered by movement sensors so that they only came on when needed, minimizing exposure of the archives to light.

Pest management remains an important aspect of conservation work for archivists and all (100%) of the surveyed institutions confirmed they were carrying out fumigation. The IRMT (1999e) defined fumigation as that process of exposing documents to a toxic chemical, in a gaseous form, to kill the insects and moulds.

With regard to the methods used, housekeeping was an important measure. Site visits to five institutions confirmed that emphasis was on housekeeping in view of the neatness of repositories. Such a regular and sustained programme of cleaning was not surprising considering that the accumulation of dust and dirt in storage areas encourages mould and infestation growth. Ritzenthaler (1993:63) commented that:

Housekeeping practices in the archives have great impact on the preservation of collections. An atmosphere of orderliness is a positive impetus to maintain good conditions and creates a favourable impression with visitors and donors. Clean surroundings also discourage insects and rodents from setting into the archives.

Apart from housekeeping practices, it was noted that chemical fumigation was being undertaken in some of the surveyed institutions. This was outsourced from trained professionals but was not that popular in the surveyed institutions. Its lack of popularity was because archival institutions were apprehensive about the toxic levels on material and staff. They preferred

instead to control infestation growth by maintaining a regime of good housekeeping, maintenance and climate control.

Adcock, Varlamoff and Kremp (1998:30; Child 1999:141; IRMT 1999e) pointed out that fumigation is no longer recommended for mould because fumigants are toxic to people, because the residue remains on the object and because it does not prevent the mould from returning. However, other authorities disagree and Cunha and Cunha (1971:112) for instance, have argued that chemical fumigation when done professionally remains an effective and safe means of insect and mould control.

The need for archival institutions to have a risk management framework to safeguard their collections from unforeseen disasters is of great importance. Seven (77.8%) of institutions had measures in place to safeguard their records from fire and floods as compared to two (22.2%) who did not. Fire precaution measures cited included the use of steel shelving, smoke detectors, heating sensors, a fire alarm and extinguishers and displaying "no smoking" signs. The installation of a new roof, floor height and cleaning of gutters were some of the flood measures mentioned in terms of risk management by respondents.

Seven (77.8%) of institutions had theft precautions measures in place as compared to two (22.2%) who did not. The use of a CCTV monitor, burglar alarm, lockers, security guards, use of a visitors' register and frequent checks on researchers were some of the measures mentioned under security. Visits to some of the archival institutions confirmed the existence of these devices and practices.

The reading room serves as the front office of an archival institution and is the laboratory for researchers. All (100%) of the surveyed institutions confirmed they had this facility and this was substantiated by observation visits notwithstanding the ongoing refurbishments. The fact that notices to readers were in place in reading rooms was indicative of the presence of good housekeeping practices and archival policy.

6.3.6 Restorative work

Weber (1999) highlighted a point of central concern to archivists when he noted that archival material is not immune to degeneration. This largely explains why the restitution of archives is a common ongoing activity. Surprisingly, five (55.6%) of archival institutions were carrying out repair work on damaged records pertaining to liberation struggle archives as compared to four (44.4%) who were not. Considering the importance of this activity, it could be that those not undertaking it were crippled in terms of expertise and finance and were unable to procure the equipment and resources to do so.

As expected, the methods used for the restorative process as shown in Table 11 of Chapter Five indicated that the traditional technique (60%) was the most popular method followed by lamination and encapsulation (20%) each. The traditional method of repair is suitable for handwritten documents and documents of unique or rare quality and this method of repair requires adequately high skilled craftsmanship and patience (Savumthararaj 1997:151). There are two types of traditional repair methods namely full repair and tissue repair.

During full repair, a document is given major face lift – missing corners and holes are filled, if possible, with identical type of paper; minor tears are mended and the document is mounted on a piece of backing material such as handmade paper or strong Japanese tissue. Most handwritten manuscripts and documents, maps and plans are repaired in this manner (Savumthararaj 1997:151). Tissue repair on the other hand, is for type-written documents or even printed matters and for documents written on both sides of a page. The operation is very simple except for filling missing corners and holes and minor repairs (Savumthararaj 1997:151).

Lamination is a curative method and its purpose is to offset the fragility of a document and 20% of the institutions under study employed it as a restorative activity. Through lamination, a document is strengthened by applying reinforcing sheet to the surface of the document to give more

strength and to restore its lost function. In most cases, lamination is restricted to documents that are in such a fragile state that they cannot be restored by other means. The process is either manually (solvent) or mechanically (heat) done and its greatest limitation is that it changes the original character of the document and is prohibitive in terms of cost (Savumthararaj 1997:152-153).

Encapsulation (20%) on the other hand was an equally significant restorative process as was lamination among the institutions under study here. Encapsulation involves placing a document between two sheets of archival quality polyester transparent film sealed on four sides with double-sided archival quality adhesive tape. This method is particularly suitable for large maps and drawings because stress imposed by handling is borne by the polyester film rather than the drawing/plans themselves. A plus factor about the process is that it is immediately reversible (Savumthararaj 1997:131).

6.4 PRESERVATION NEEDS

Undertaking a preservation needs assessment for liberation struggle archives was the basis of the fourth objective of the present study. Accordingly, archival institutions have to protect their holdings by selecting appropriate preservation strategies, controlling the storage environment, planning for disasters, performing holdings maintenance and treating selected materials.

6.4.1 Preservation strategies, staff training and standards

Reformatting is an umbrella term that refers to all the activities undertaken to facilitate the creation or migration of information from one carrier to another especially for preservation or access purposes. Table 12 in the preceding chapter shows that most respondents cited digitization as the most widely used preservation strategy, while the least cited preservation strategy was de-acidification accounting for two (25%) of the respondents. What this seems to suggest is that digital technology is making inroads as a preservation medium and this is validated by findings on areas needing archival training as

reflected in Table 8 and Figure 6 in the preceding chapter (see also Section 6.5).

Standards are documented technical specifications or other precise criteria to be used consistently as rules, guidelines or definitions of characteristics to ensure that there is a yardstick against which products and services can be measured in the fulfilment of their purpose (Mazikana and Ngulube 2001:1). Figure 9 in Chapter 5 shows that the applications of standards were most concentrated on storage and preservation of records as compared to access. This was not surprising considering that air-conditioning was a factor in the surveyed institutions.

Ngulube (2005a:154) cited the National Archives of the Netherlands who noted that archival management in tropical areas is more governed by the climate than any other professional concern. Chida (1994:27) commented that archival institutions in the tropical region are faced with a double tragedy consisting of a hostile environment and limited financial resources. Chida (1994) thus noted that those tropical countries facing extreme humidity and temperature can barely afford to acquire air-conditioning equipment, let alone maintain it.

The National Archives of Australia (2002) recommended that in view of the fact that it was not possible to achieve temperature and humidity levels of 27°C and 60% RH in tropical climates, records deterioration could be minimized by the provision of air-conditioned storage. Consequently, the opening of windows to allow cross-ventilation of the building, use of ceiling fans, HVAC and good housekeeping practices were cited by respondents in terms of applying standards to their storage and preservation practices (See Section 6.4.4).

Three respondents (33.3%) made reference to ISO and ICA standards though these could not be validated during site visits. One respondent cited adherence to national standards, one to AACR2/MARC standards for collections and manuscripts, and one stated that they were complying with

ESARBICA standards which is incorrect. The fact of the matter is that institutions within ESARBICA apply either national (which hardly exist), ISO or ICA standards.

6.4.2 Building type, length of occupation and renovations

A records repository exists to preserve and protect the records stored within it. Ngulube (2003:101) observed that protection of records and archives begin with the building in which they are housed. Too often an archives is “given” a building that other departments cannot use or do not want and the archivist is expected to ‘make do” with the building regardless of its unsuitability for the storage of documents. Location is the first important decision to make when selecting a venue for an archive, as the building should not be in area where there is danger from pollution in the air. Polluted air is harmful to the documents. The building itself should have adequate insulation to maintain temperature and humidity. According to Thomas (1988:42), the building should provide protection against natural hazards and have a high degree of thermal inertia to ensure that the interior temperature and relative humidity remain reasonably stable and unaffected by fluctuations in the exterior conditions. The maintenance of a safe and stable climate is one of the most important functions of an archive building.

Mazikana (1997:145) similarly noted that architecture plays an essential role in the preservation and conservation of the archival heritage. Ling (2003) pointed out that the environmental conditions within the building, particularly the storage area, need to be appropriate to preserve the archives and to protect them from environmental extremes. This is especially the case for buildings located in tropical regions. Bottomley (1984:341) noted that the building of an archival institution should be separate from other buildings, on well drained ground and record strong rooms are best built of reinforced concrete insulated on the inside to prevent condensation.

The whole idea behind such a structure is to ensure that the selection, preservation and access to records is guaranteed in the long term. Five

(55.6%) of archival institutions had purpose-built storage. A purpose-built or custom built building is one designed for a purpose. In other words, the building has specific architectural features designed to reduce burglary coupled with humidity and temperature control to prolong the useable life of records. Three (33.3%), institutions under study were using adapted buildings. Five (55.6%) confirmed that renovations had been carried out in the institutions' history. The oldest building dates back to 1935 with the most recent having been constructed in 2000.

6.4.3 Disaster planning and recovery and security

Security and disaster management are the key to the protection of archival materials from human and natural disasters. High level security measures should be in place to protect archival material against intruders, vandals and arsonists. Meanwhile, disasters, which can be classed as either natural or man-made, should also be defended. Natural disasters are those caused by natural phenomena, for example, earthquakes, hurricanes, cyclones, typhoons, volcanic eruptions and drought. Man-made disasters result from the failings of the human race. Examples are water leakage, fire (including arson), explosion and impact. Terrorist action, war and armed conflict may also be considered to be man-made disasters (ICA 1997).

In view of these unforeseen circumstances, the need for a disaster plan cannot be overstated. The (IRMT 1999f) stated that no organization is totally immune from emergencies or disasters, either from natural causes or human action. It is this light that Ngulube (2005b:15) pointed out that disaster planning facilitates efficient and quick response to an emergency and security protects items against theft or deliberate or unintentional damage and destruction. Ngulube and Magazi (2006:111) noted that having policies and procedures in place minimizes the stress associated with disasters and the damage to collections.

Williams (2006:186) concurred and stated that all archives need to have a risk management framework to guard against significant risks. It is therefore

mandatory that an archival institution should have plans for prompt, organized action to mitigate against such eventualities. According to Williams (2006), such plans may be termed an "emergency plan", 'disaster preparedness plan", "disaster recovery plan" or something similar. Without a disaster plan, time is wasted when a disaster occurs and much effort is wasted, which not only does not help the situation but which may actually damage library materials more than the disaster itself (Jones and Ritzenthaler 1988:116).

Among the surveyed institutions, five (55.6%) of institutions lacked a disaster preparedness and recovery plan as compared to three (33.3%) who had one. The findings were expected considering that information professionals have never prioritized disaster preparedness until recently. Practitioners often overlook disaster preparedness and security of holdings yet they are fundamental to ensuring access to and preservation of these materials into the future (Ngulube 2003b:58).

Ngulube (2003b:58-68) further noted that the dearth of disaster plans is complicated by the fact that:

- i. there is limited training about disaster preparedness;
- ii. there are insufficient resources to preserve the national documentary heritage; and
- iii. many buildings housing records do not have adequate space for collections as well as facilities to protect files from environmental factors.

On the type of disasters that posed a major threat to their collections, three (21.4%) of institutions considered fire as a major threat to their collections and three (21.4%) also indicated that the disaster plan mostly covered the records, building and evacuation of people. The fact that fire was cited as a major threat to their collections was expected considering its devastating effects. Cunha and Cunha (1971:209) stated that fire in an archive is lethal and can have devastating consequences. The rapid oxidation of fuel (books,

prints, maps, documents, shelving, furniture, rugs and draperies), once started, is spread by heat radiating from the flames, by the convection of hot gases in stair wells, book stacks and elevator shafts, and by heat conduction through metal walls, floors and plumbing.

According to Ngulube (2003b:60), damage caused by fire can be even more serious than that caused by water. If collections survive at all, they are likely to be charred, covered with soot and smoke, distorted, brittle from exposure to heat, wet from water used to extinguish the fire and smelling of smoke. (Hunter 2003:192) noted that in a fire, both flames and smoke are a cause for concern. Smoke, in fact, can be almost as damaging as flames, especially to sensitive items like records on magnetic media.

6.4.4 Heating, ventilation and air conditioning (HVAC)

The creation of a sympathetic environment in an effort to prolong the lifespan of records with enduring value is dependent on a number of factors. Ritzenhaler (1993:61) pointed out that the ideal physical environment for archival material includes controlled temperature and relative humidity, clean air with good circulation, controlled light sources and freedom from biological infestation. Good housekeeping practices, security controls and measures to protect collections against fire, water and similar hazards complete the range of environmental concerns.

Ritzenhaler (1993) further noted that the highest priority of every archival institution should be to provide environmentally controlled quarters for the storage and use of its holdings. This mass based preservation approach benefits all items in the repository and is referred to as a heating, ventilating and air-conditioning (HVAC) system – it controls both temperature and relative humidity. This system heats and cools the air, humidifies and de-humidifies it, and also extracts pollutants from it. Though this HVAC system is expensive to install, operate and maintain, it remains the most cost-effective means of caring for the collections. The present research therefore sought to find out whether the HVAC system, a vital cog in the operations of an archival

institution was in existence and how regularly it was maintained, if at all. The findings are discussed below.

It was positive to note that seven (77.8%) of the surveyed institutions confirmed the presence of a HVAC system as compared to two (22.2%) that were without one. One of the institutions without a HVAC mentioned that air circulation was maintained by opening windows on a regular basis. Four (44.4%) of archival institutions reported that their HVAC system was 10 years and older in terms of age, one (11.1%) reported that it was between 4-7 years while two (22.2%) indicated that it was between 1-3 years old. The maintenance of the system revealed interesting scenarios. Two (22.2%) of archival institutions maintained it twice a year and this percentage equally applied to two institutions who maintained it annually. One institution (11.1%) maintained it once every two years whilst the final two (22.2%) reported that it was maintained as needed only.

On the availability of records to prove that the HVAC system works, three (33.3%) confirmed they had as compared to four (44.4%) who did not. Observation visits at selected archival institutions confirmed the absence of a maintenance schedule as this could not be produced upon request. What can be gleaned from these figures is that archival institutions are striving under very difficult conditions to maintain the HVAC as this system needs regular monitoring and servicing. These efforts are commendable in view of the shoe string budgets they operate under and when viewed against the backdrop of the global recession.

6.4.5 Pest management and fire detection system

It has been noted earlier on that bio-predation in storage areas leads to records damage and this needs to be carefully monitored. Five (55.6%) of archival institutions specified fumigation or other forms of disinfection of the storage either regularly or on need compared to three (33.3%) who did not. One respondent mentioned PH3 as the chemical used and residual spraying. From Table 13 in Chapter Five, it can be seen that four (44.4%) fumigated

once a year, two (22.2%) twice a year and one (11.1%) once a year. Three (33.3%) of archival institutions reported that the fumigation was outsourced and not an in-house activity (See also Section 6.3.5).

Fire precaution measures were noted during site visits and these included: fire resistant buildings, walls, floors, steel shelves, and doors, smoke detectors, heat sensors and fire extinguishers. Fire and smoke detectors alert staff and emergency services thereby catching the fire at an early stage. Six (66.7%) of archival institutions had a fire detection system, mostly smoke detectors as compared to 22.2% who did not. Liaising with the local fire department helps in the conduct of drills and emergency rescue services. Five (55.6%) confirmed that they had regular visits by the local fire department as compared to three (33.3%) who did not. Two (22.2%) of archival institutions reported that visits by the local fire department had an orientation towards inspections. One (11.1%) institution reported that visits by local firemen focused on establishing a program on fire prevention. It is significant that two (22.2%) of archival institutions mentioned that visits by the local department mostly focused on staff training because this meant that staff themselves knew how to deal with fire outbreaks as well as how to best implement fire prevention strategies.

6.4.6 Conservation treatment

The caring of individual items is an important activity within the preservation function. Williams (2006:168) asserted that conservation refers to specific hands-on techniques that set out to stabilize individual documents to prevent further deterioration and where processes are reversible (that is the conservation treatments can be undone without damage to the item). A significant number of respondents, six (66.7%) acknowledged that conservation was an in-house activity compared to two (22.2%) who were not carrying out this activity. Respondents cited document conservation (66.7%) as the most popular activity with 33.3% of respondents citing upgraded environmental controls as important. From Figure 12 in Chapter Five, it is discernible that all (100%) of institutions surveyed had basic

specialized cleaning equipment. Leaf casting, vacuum fumigators, humidification chambers were not that common due to their sophistication.

6.5 USE OF DIGITIZATION PROCESSES TO ENHANCE PRESERVATION AND ACCESS TO THE RECORDS

Ascertaining the extent to which Information communication technologies have had that "transformative influence" on preservation and access to liberation struggle archives constituted the fifth objective of the present study. The onset of technology has had a profound impact on how information is stored and accessed. Carlisle (2008:66) noted that the world of archives management is in constant turmoil as new technologies transform the archival landscape with regard to preservation and access to records.

6.5.1 Written policies to manage digital records

As noted earlier (Section 5.2.2), policies provide operational efficiency to archival institutions. A significant number of respondents (88.9%) acknowledged that they did not have written policies for managing digital records compared to one (11.1%) that had such a policy. However, the confirming institution neither had these written policies on their website or in published form. The survey also established that for the confirming respondent, there were no policy guidelines for acquiring material in digital form, their conversion to digital form and neither was there any policy pertaining to refreshing or migration. All (100%) of the surveyed institutions lacked standards for the preservation of digital records pertaining to liberation struggle archives.

6.5.2 Technical capacity

Seven (77.8%) institutions confirmed they had digital material pertaining to liberation struggle archives but lacked the technical capacity to read and access compared to two (22.2%) who had the capacity to do so. Microfilms, reel-to-reel tapes and floppy disks were the media cited with regard to which respondents encountered reading and access problems. Refreshing refers to

the process of copying data from one medium to another one of the same type (IRMT 1999e). All (100%) of the surveyed institutions mentioned that they were not refreshing data.

On the other hand, migration is the process of translating data or digital objects from one computer format to another format in order to ensure users can access the data or digital objects using new or changed computing technologies (IRMT 2009a). Two (22.2%) of the surveyed institutions reported that they were migrating digital records compared to five (55.6%) who were not. On these related questions of digital preservation (see also Section 5.4.1), it is evident there is a considerable disparity in practice. Nonetheless, seven archival institutions did rank threats to their digital materials as is indicated in Table 14 of Chapter Five.

Table 14 in Chapter Five indicates that technological obsolescence and the lack of resources were the major threats to the survival of digital records. One trend identified during visits to two institutions was that there is a heavy reliance on donor assistance for the purchase, maintenance and development of the digitization infrastructure. This trend epitomized the shift from physical repositories to archives without walls – the virtual world that is. More importantly, this trend is evidence that digitization has attracted significant public and commercial funding in view of the number of digitization projects in place on African heritage material (See Section 2.2). Lor (2008) and Garaba (2009) have observed that at face value, these projects are a wonderful way of promoting awareness and appreciation of Africa's rich cultural heritage but caution is called for. The ethical and intellectual property implications of any digitization project need to be seriously considered to avoid exploitation or unequal exchange.

6.6 ROLE OF NATIONAL ARCHIVES IN MANAGING THESE RECORDS AND THE EXISTING RELATIONSHIPS BETWEEN THE NATIONAL ARCHIVES AND LIBERATION MOVEMENTS' ARCHIVES

An examination of what role national archives are playing in managing the archives of the former national liberation movements and of what relationship exists between the two constituted the final objective of the study. Data for answering this objective were gathered through a content analysis of the legislation in place and the use of an interview schedule which is reproduced in Appendix 7. Legislation provides the essential framework that enables an archives service to operate with authority in its dealings with other agencies of the state, including the national archive.

6.6.1 Non-governmental records

Non-governmental or private records are those records created, received and maintained by non-governmental organizations, families or individuals relating to their private and public affairs (IRMT 1999a). Seton (1984; Ketelaar 2006) observed that it is only recently that in most countries archival legislation has affected private archives. In the surveyed institutions, a content analysis of the existing legislation in the respective countries revealed that it was a see-saw affair as there was lack of precision with regard to the management of private archives whereas in some instances this was clearly spelt out.

It was in this context that Chachage and Ngulube (2006), following their dissection of national archival legislation in east and southern Africa, opined that the framework to deal with records of private organizations was inadequate. The need for greater state involvement in the management of private archives cannot be overstated and this involvement, once clarified, will eliminate unhealthy competition between different archives over precious or important records and go a long way in addressing the disharmony currently existing between state and private archival institutions in some of the institutions surveyed.

Commenting on the need for greater state involvement in the management of private archives Parer (2000) stated that:

The National Archives should be entitled by law to acquire private archives. Legislation should be considered making the National Archives responsible for the compilation and maintenance of a register of all archives of non-public provenance and all documentary collections with research value. The law should oblige owners and custodians of such "registered" archives to preserve them in the best available conditions. Any change in the place of the deposit should be reported; and any proposal to sell or otherwise dispose of them should be referred to the appropriate authority. Export of such archives should be forbidden, or should be subject to the approval of the competent archives authority. The State may be given a right to preferential purchase of private archives.

The foregoing views by Parer (2000) depict what is happening within ESARBICA with regard to legislation on private archives. In recent years there has been an increasing tendency to regard private archives as part of the national archival heritage, and to legislate accordingly. Therefore, the first instrument for controlling and locating private papers is legislation and Kufa (1993:27) pointed out that it is heartening to note that there is a worldwide awareness of the importance of private papers with the resultant effect that efforts are being made in many countries to improve the collection and control of private archives. Consequently, the National Archives of Namibia Act (1992), the National Archives of South Africa Act (1996) and the National Archives of Tanzania Act (2002) are explicit with regard to the management of private archives in their respective countries which is a commendable development (See Section 5.6.1).

6.7 SUMMARY

In this chapter, an attempt was made to find meaning by interpreting the findings of the study. The responses to the questionnaire which were complemented by interview schedules and observations, revealed interesting findings. They lent, however, colour to the already existing picture and

supplied further details which are quite significant. It is discernible that the surveyed archival institutions recognized the importance of liberation struggle archives and were striving to ensure that the requisite documentation was in place to preserve this record for posterity. A plethora of issues pertaining to the management of this record were noted by respondents.

Liberation struggle archives had been identified and photographs remain the dominant media used to capture this record. A combination of finding aids was in use with inventories and summary lists being the most popular. Mission statements were in existence, with the majority of institutions having formally in place. Policies were also in existence but calibrated at various levels according to an institution's collection priorities. Archival institutions were strongly focused on the digitization of liberation struggle archives in an effort to address preservation concerns and promote access.

In terms of expertise, this was mostly invested in paper-based materials as compared to microfilm, audio and electronic records. As a result, the traditional technique was the most popular method used for the restorative process in the surveyed institutions. This status quo was ideal considering that the traditional method of repair is suitable for handwritten documents and documents of unique or rare quality as is the case with liberation struggle archives. The housing of liberation struggle archives was in purpose built buildings, though archival institutions were struggling to maintain optimum environmental conditions to prolong the useable lifespan of this record. The onset of digital technology, whilst still in its infancy has transformed the archival landscape to levels hitherto experienced as the majority of archival institutions were striving to ensure that they remain relevant in these changing times. The archival legislation in as far as it affected private archives administration was precise and at times non-specific in the surveyed institutions.

However, a number of challenges that threaten the survival of liberation struggle archives were noted by participants and the major challenges were as follows:

- i. Backlogs of unprocessed materials were noted as endemic by the majority of the surveyed institutions;
- ii. Equipment was outdated and the HVAC system for instance was causing serious problems in terms of maintenance in most of the institutions under study;
- iii. Technological obsolescence and the lack of resources were considered by most institutions as constituting the major threats to the survival of digital records. This could possibly explain why preservation orientated digitization targeting unstable materials prone to deterioration was in place. The massive investment in the digitization infrastructure through donor funding is indicative of this but training was found wanting in this area;
- iv. The training of archivists in the administration of private archives was not satisfactorily reflecting the changing environment vis-à-vis the curricula and the onset of new technologies.

The foregoing challenges and others not mentioned here will be dealt with extensively in the next chapter.

CHAPTER SEVEN: SUMMARY OF FINDINGS, CONCLUSION, RECOMMENDATIONS AND THE SUGGESTED MODEL

7.0 INTRODUCTION

The interpretations of the research findings were dealt with in Chapter Six. This chapter rewinds the clock by revisiting the purpose of the study and the research objectives that guided the research. Following on from this, the chapter provides a summary of the research findings, the conclusion arrived at and the recommendations. A discussion of the suggested model is included in this chapter which closes with areas identified for future research.

7.1 PURPOSE, RESEARCH QUESTIONS AND SUMMARY OF FINDINGS

The following section revisits the purpose of the study, the guiding research questions and presents a summary of the research findings.

7.1.1 Restating the purpose of study

The purpose of this study was to identify and locate where the archives of national liberation movements of east and southern Africa reside and to examine whether they are being managed throughout their lifecycle. To achieve this purpose, the following research objectives guided the study:

- i. establish the location, custody, volume, composition, condition and management of liberation struggle archives;
- ii. examine infrastructure issues comprising policies, procedures and resources for their management;
- iii. assess the physical security of these records to ensure their long-term preservation vis-à-vis equipment and availability of expertise;
- iv. conduct a preservation needs assessment;
- v. assess the extent of the use of digitization processes to enhance preservation and access to the records;
- vi. assess the role of the national archives in managing these records and the existing relationships between national archival institutions and liberation movement archives; and
- vii. suggest a model to implement best records and archives management practices.

7.1.2 Summary of research findings

A summary of the research findings based on the research questions is provided in the following section.

7.1.2.1 Identification of liberation struggle archives

The first research question sought to find out whether the respective governments of the ESARBICA region had identified liberation struggle archives and established the requisite documentation in this regard. The following is a summary of the findings:

- This had been done satisfactorily as evidenced by the repatriation of archives within the ESARBICA region and beyond. The restitution of archives is however ongoing and is problematic. The overall picture is that the liberation struggle was a global event as records are scattered in different parts of the world. The records so created are of varied nature as the media used to capture the record exists in a variety of forms with the majority of these being photographs.
- Equally important is the fact that the majority of the surveyed institutions were not undertaking reappraisal of these records, probably because they were few in number and of intrinsic value as they represent an important episode in the histories of these nationalities. The non-undertaking of reappraisal is endorsement that the selection of liberation struggle archives was spot on from the start.
- The functional approach to records classification was being undertaken to fulfill the mandate of the organizations which centred on the need to capture this historic record for the benefit of posterity.
- The arrangement of records was being done by qualified personnel, both archivists and manuscript librarians.
- A combination of finding aids were being employed for access with inventories and summary lists being the most popular.
- The use of published guides was not popular and possible explanations could be linked to information communication technologies and budgetary considerations.

- The majority of archival institutions had an official record of materials received by a repository.

7.1.2.2 Mechanisms, policies and procedures to enhance archival management

The second research question examined the mechanisms, policies and procedures that were in existence for enhancing records and archives management practices. The findings were as follows:

- All the archival institutions had mission statements and these explicitly spelt out the mandate of the organizations. Most of the institutions had these in written format.
- Formal written policies were generally in existence and were calibrated at various levels depending on an institution's collection priorities. The policy pertaining to digitization of liberation struggle records (62.5%) was held to be of particular importance. Almost equally significant were policies pertaining to acquisition, training and recruitment of staff, and responsibility for managing liberation struggle archives (50% each). At the tail end were policies pertaining to microfilming, description of archives, retention scheduling, custody and control (25%).
- Most archival institutions obtained copies of archives and manuscripts when the originals were unobtainable. In addition, electronic media was preferred for duplicate copies which points to the pervasive influence of digital technology.
- The majority of archival institutions offered access to unlisted archives and the varied responses to restrictions on archives were largely shaped by policy and donor requirements.
- Archival institutions were liberal in their publication requirements though users had to acknowledge the institution as the source. As a matter of fact, access to liberation struggle archives was open as all institutions confirmed this was the case.

- The major challenge to the management of liberation struggle archives was the processing of backlogs. Other significant challenges centred on issues of lack of finding aids, equipment and records deterioration.

7.1.2.3 Physical security of records

The third research question took into cognizance the need to examine the physical security of these records to ensure their long-term preservation and appended below are the major highlights:

- The need for a first university degree, preferably with that historical bias from which archival skills can be developed was given priority. Equally significant were technical training and digital preservation training with microfilming training at the bottom.
- Expertise in preservation management was mostly concentrated on disaster planning and recovery, holdings maintenance and preservation planning.
- Media expertise was mostly invested in paper based materials as compared to microfilm, audio and electronic records.
- Areas cited by respondents for additional training were in the fields of appraisal and archival methods.
- Standard storage equipment was in existence though wooden shelves were still being used in repositories. The lack of storage space was critical in the surveyed institutions.
- The physical condition of records was the main reason cited in denying users access to records.
- Most of the archival institutions were allowing users access to their repositories.
- The majority of the institutions had a visitors' register in place though its administration lacked consistency.
- Stocktaking was being done once a year or not at all.
- Liberation struggle archives were not being kept separately from other holdings.
- The majority of institutions had air conditioning.

- Precautions were in place to monitor light intensity.
- All the institutions were fumigating their premises to safeguard their collections from biological agents.
- Fire precautions were generally in place.
- Theft precautions were in existence.
- Restorative work was being done by the majority of institutions with the traditional technique the most popular.

7.1.2.4 Preservation needs

The fourth research question addressed the preservation needs of the surveyed archival institutions. Appended below is a summary of the research findings:

- Eight institutions (87.5%) confirmed that digitization was the most widely used preservation strategy.
- The majority of respondents, eight (87.5%) had training in preservation techniques.
- Standards were in place but concentrated on storage and preservation areas as compared to access. The majority of institutions preferred ISO and ICA standards.
- Five archival institutions (55.6%) had purpose built storage. Three (33.3%) had adapted buildings and five (55.6%) confirmed they had undertaken renovations of their buildings at some point. The oldest building was built in 1935 with the most recent in 2000.
- Five (55.6%) of the archival institutions compared to three (33.3%) had contingency measures in place to deal with disasters.
- Fire was considered to be the biggest threat to their collections and the disaster plan mostly covered the records, building and evacuation of people.
- The majority (88.9%) had security personnel in place to complement their security drive.
- The use of CCTV, cameras and alarm systems was erratic.

- The majority (66.7%) had fire detection systems in place and they confirmed they had regular visits by the local fire department to conduct drills and emergency rescue services.
- Conservation was an in-house activity for most for the majority of institutions. Document conservation was the most popular with most respondents citing upgraded environmental controls. One institution reported it had experienced a disaster and all the institutions had basic specialized equipment.

7.1.2.5 Role of ICTs

Ascertaining the “transformative influence” of information communication technologies on the management of liberation struggle archives formed the basis of the fifth research question. The findings of the present research revealed the following:

- The majority of institutions were digitizing their collections though there was no written policy for managing digital records for this majority.
- The majority confirmed they had in custody liberation struggle archives they were unable to read and access. This technical incapacitation was mostly encountered with microfilm, reel-to-reel tapes and floppy disks.
- Most of the archival institutions were not migrating their records to new platforms.
- Technological obsolescence and lack of resources were considered by most institutions as constituting the major threats to the survival of digital records. This largely explained why donor assistance was sought, as evidenced by the donor-funded state of the art equipment to build up the digitization infrastructure observed in visited institutions.

7.1.2.6 Relationship between national archives, political parties and former liberation movements in the management of records

The sixth research question addressed the relationship among national archives, political parties and former national liberation movements. The following is a summary of the findings:

- Inherent semantic ambiguities existed in the legislative apparatus of the majority of archival institutions. This largely explains why the majority of national archival institutions were not that active in as far as the management of private records was concerned.
- Apart from legislation to help locate private archives, the majority of institutions confirmed that guides to their collections were non-existent. Relationships between national and private repositories were not harmonious in as far as the acquisition of private archives is concerned because the two were often in competition with one another to acquire archival records. The general situation in most countries with regard to private archives was not satisfactory. On the whole, the view by Seton (1984) that private archives management in terms of the state's role (through the national archival services) was not fully pronounced in developing countries is vindicated, although some collaborative projects were indicated.
- Areas cited as cause for concern in the management of private archives pertained to arrangement, storage and custody, finding aids and access.
- Respondents cited policy reviews, legislation revisions, co-operation and overhauling of curricula in the training of archivists as needs in as far as the administration of private archives was concerned.

7.1.2.7 A suggested model

Proposing a model that effectively implements records and archives management programmes for the documentation of liberation struggle archives formed the basis of the seventh research question. Liberation struggle archives were born archival and it is therefore self-evident that the archival collections at the centre of discussion were long orphaned but

survived years of non- or mismanagement before archivists – to varying degrees of success - acquired, preserved, arranged, described and made them available to the public. However, the onset of digital technology has exacerbated an existing problem in as far their management is concerned.

It is against this background that the records continuum model is suggested for the simple reason that it offers a holistic approach as managing records is seen as a continuous process where one element of the continuum passes seamlessly into another. This means that, under the records continuum model, the selection and acquisition (getting the records into the archive), the arrangement and description (arranging them in an ordered way and describing what and where they are for access purposes, and the preservation (maintenance over time) of the records are all connected in a continuum. In view of the fact that the records under this study were created and in current use some time ago, special emphasis was at the end of the lifecycle and Millar (1997:14) explained the four actions of records care under the records continuum model:

- i. identification and acquisition – archives management actions relate to the selection and acquisition of archives;
- ii. intellectual control – archives management actions relate to the arrangement and description of archives;
- iii. access – archives management actions relate to the description of archives; and
- iv. physical control – archives management actions relate to the preservation of records.

The four actions of records care mentioned above dovetailed with the scope of the present research which aimed to confirm whether or not the records had been identified, intellectual control administered, access control granted as evidenced by the descriptive media in place and finally, whether or not physical control was in place considering the preservation efforts that were currently underway. In a nutshell, there has to be a continuum of access from

a records and archives management perspective. In addition, of great importance in the current era, the records continuum model is well adapted for the management of records in digital format (Flynn 2001:85) or to put it in Upward's (2001) words, it is more in tune with electronic communications and technological change.

Because of the historical nature of the archives surveyed, the emphasis in the present research was on the non-current stage of the records lifecycle. Added to this, Mnjama (1996:24) observed that many national archives in Africa are only managing the last phase of the records lifecycle – archival custody.

It can therefore be cogently argued that the records continuum model is best suited for the management of liberation struggle archives as these exist in both paper and digital form and also because they require continual oversight during all phases of their lifecycle, from their entry into the archives onward. Thus, this model covers all tasks that need to be managed and implemented during their initial identification and acquisition (records are regularly being identified as potential purchases and are added to these archives), their arrangement (records are being organized in a logical manner respectful of provenance), their description (records are made accessible for use through knowing where and what they are), and during their preservation (records are kept accessible in terms of technological media required, and are maintained under optimum and safe conditions to ensure their long term existence).

7.2 CONCLUSIONS ABOUT RESEARCH QUESTIONS

Based on the findings of the study, the following are the conclusions reached:

➤ Identification of liberation struggle archives

Records pertaining to liberation struggle archives had been identified, some had been restituted. The bulk of these records are photographs but in terms of volume of output, most of the organizations failed to quantify the volume of records pertaining to national liberation movements. This means that most

organizations cannot adequately articulate their needs in terms of equipment, staff and space for the storage of documents. The implication could be that the records in their custody are not being professionally managed. The arrangement of records was being done by both archivists and manuscripts librarians which is linked to the “heritage web” concept whereby archives’, museums’ and libraries’ identities are all rolled into one so as to uniquely match each institution’s functions to the needs of various communities of users. Various finding aids were being employed but inventories remain the most popular and a record of materials acquired by archival institutions was in existence as evidenced by the presence of an accessions register.

➤ **Mechanisms, policies and procedures to enhance archival management**

Mission statements were in existence and for the majority of the surveyed institutions these were in written format. This shows that archival institutions had a strategic vision that went a long way in fulfilling the mandate of these organizations. Archival management policies were in existence but calibrated at various levels with policy pertaining to digitization of liberation struggle records the most valued. Least valued were policies pertaining to microfilming, description of archives, retention scheduling, and custody and control. The fact that policy pertaining to digitization was most valued lends credence to the view that digitization within cultural heritage institutions was being accorded the recognition it deserves in view of the new information communication technologies available.

As a matter of fact, archival institutions preferred electronic media when acquiring duplicate copies in place of originals which again points to the pervasive influence of digital technology. The major challenge to the management of liberation struggle archives was the processing of backlogs in matters of access and this was largely a result of lack of expertise and equipment in as far as digital technology was concerned. Other significant

challenges noted included lack of finding aids, equipment and records deterioration.

➤ **Physical security of records**

Archival institutions are still giving strong emphasis to an appropriate recognized university degree for appointment to the post of archivist. Until recently, it was internationally recognized that some basic knowledge of history and training in historical research should be the main prerequisite to becoming an archivist. However, the 'heritage web' concept drastically calls for a revisit of this approach as functions of archivists, librarians and museum curators are gradually overlapping in order to meet the requirements of communities.

In fact, there is convergence of professional interests of archivists and librarians and Ngulube (2005a:156) has observed that these information professionals are increasingly becoming engaged in collaborative efforts in order to preserve the documentary heritage of their countries for the benefit of present and future generations. Ngulube (2005a) further noted that despite the fact that materials and methodologies of information professionals vary, the bottom line is that they are both guardians of the written heritage of humankind and are concerned with the survival of culture and scholarship. In view of the foregoing, the range of major subjects that can be taken together with other more specific archival subjects, needs to be extended as other academic courses are now recognized to be of value in archival work. Thus the need for the restructuring of curricula in the recruitment and training of archivists, librarians and museum curators to accommodate this development cannot be overstated.

Expertise in preservation management showed that this was mostly concentrated on disaster planning and recovery, holdings maintenance and preservation planning with environmental monitoring not being prioritized. Ngulube (2005a:163) argued that skills and knowledge of preservation

techniques and procedures were fundamental to controlling where collections are housed. The right expertise is therefore critical in any preservation endeavours and thus was not surprising as respondents stated that they needed additional training in archival methods and appraisal.

Despite the fact that digital technology was permeating almost every facet of life in archival institutions, media expertise was mostly invested in paper based materials as compared to electronic records. Research carried out by Mutiti (2001) and Ngulube and Tafor (2006) within the ESARBICA region confirmed that the majority of archival institutions are still paper-based. In addition, a recent survey on electronic records in organizations by AIIM (2009) indicated that the volume of paper was on the increase which suggests that the management of electronic records was not being taken seriously compared to paper records.

In terms of storage equipment, steel was being used for shelving but wood was also used where there was a shortage. As is the case, the problem of space was noted by respondents as critical.

Most of the archival institutions were allowing users access to their repositories which compromised their operations. Allied to this issue of security was the fact that most archival institutions had a visitors' register but its administration lacked consistency in application.

In terms of arrangement, liberation struggle archives were not being kept separately from other holdings and stocktaking was being done once a year and not at all in some institutions.

The provision of an environment conducive to preservation of archival material in archival institutions is of critical importance in view of the fact that temperature and humidity fluctuations contribute significantly to the deterioration of materials. In this regard, the conclusions of the study were that the majority of institutions had air conditioning but the HVAC system was erratically maintained, as evidenced by the lack of documentation pertaining

to this. In fact, the infrastructure in terms of air-conditioning within ESARBICA has been reported by Mazikana (1995) to have disintegrated as the HVAC in most archival institutions is non-functional. The situation has – in this present study – been found to have changed for the better though, but archival institutions are still struggling to maintain this HVAC system due to the fact that it is expensive and is thus unsustainable.

Light increases the oxidation in paper thereby accelerating records' degeneration. The study's conclusions were that precautions were in existence to monitor light intensity. Biological agents like termites, silverfish, cockroaches and the like have a devastating effect on archival material. The study concluded that sound housekeeping practices were being practiced in an effort to monitor the environment and that fumigation was being done but was outsourced.

Fire can cause untold damage to material and the research concluded that fire precautions were in place. Cultural repositories are vulnerable to heritage theft and the study concluded that whilst security measures were satisfactorily in existence, more could be done in terms of policy reviews to prevent pilfering.

Restorative work to repair damaged material was being done and the study concluded that the traditional technique was the most popular which was to be expected, considering the nature of material these institutions had in custody.

➤ **Preservation needs**

One of the major findings of this present study was that digitization was the most widely used preservation strategy in the surveyed archival institutions and the conclusion that can be drawn is that this is in line with the dictates of the new information communication technology and that this was also largely shaped by preservation and access considerations. However, this use of

technology needed to be taken with precaution considering the technical, social and political implications of digitization. The majority of respondents had training in preservation techniques but this mostly applied to paper records and not digital material. The fact that they were not migrating records and that they acknowledged their technical deficiencies in dealing with material in digital format is concrete evidence of the focus of their training and skills.

Standards define quality in archival services and most respondents confirmed standards applied mostly to storage and preservation areas rather than to access. What can be concluded is that there was selective application of ISO and ICA standards, a situation which is not consistent with professional archival administration practices. With regard to storage standards, Williams (2006:180) submitted that archives may be housed in a variety of locations, whether this is purpose-built construction, an adapted building or a room in a cellar. In terms of building infrastructure, the majority confirmed they had purpose built storage. Meanwhile, the renovations undertaken to adapted buildings by those without custom-built structures points to the fact that they were working towards ensuring that a sympathetic environment was provided for their holdings.

In terms of disaster preparedness, the majority confirmed they had contingency measures in place to deal with disasters though there was no written evidence of this. The disaster plan mostly covered the records, building and evacuation of people with fire considered the biggest threat to the collections. One institution reported it had experienced a disaster. The conclusion that can be generally drawn from this state of affairs is that satisfactory contingency measures were in place but these needed improvements in order to safeguard collections from unforeseen eventualities. Security was generally in place but the use of CCTV, cameras and alarm systems was not very pronounced which suggests there was need for improvement in this regard.

➤ **Role of ICTs**

The majority of institutions confirmed they were digitizing their collections despite the lack of a written policy for managing records in this format. That aside, it can be concluded that digital technology has made significant inroads in archival institutions and that organizations were moving with the times in search of permanence. It has been argued that the computer has brought a more significant paradigm shift to society than any other technology since the invention of the printing press (Millar 2003) and this impact has also had a bearing on archival institutions.

Apart from this need to seek relevance, it can also be concluded that the use of automated finding aids was greatly assisting in their outreach activities. The digitization projects noted in Chapter 2, Sections 2.2.1 – 2.2.9 provide the world with a snapshot of technology in the 21st century, which is focused on co-operation and collaboration both nationally and internationally, despite the ulterior motives such as “information imperialism” believed by some scholars to be behind these projects.

The majority of archival institutions confirmed they had in custody liberation struggle archives they were unable to read and access. This technical incapacitation was mostly encountered with regard to microfilm, reel-to-reel tapes and floppy disks which is concrete evidence that the products of computer technologies are extremely fragile and their life span unknown. What this shows is that archival institutions were still grappling with preservation problems - they also acknowledged that they were not migrating records to new platforms confirming that their equipment and expertise was severely lacking in this area. This finding was corroborated by Mnjama (2007b) who noted then in his study of university libraries that most institutions expressed an interest in digitizing their collections, but lacked the equipment or other resources.

Ngulube (2001:5) submitted that in view of technological developments and the unsettling effect they produce, there was need for continuous reassessment of records and archives management training. Onyancha and Minishi-Majanja (2009:108) concurred and remarked that LIS professionals from training schools should be able to function effectively in the ICT-driven information environment. Due to the impact of technology, the records and archives profession is in a state of transition which suggests archivists should have a career-long commitment to updating their knowledge and skills (National Archives of Australia 2009). Training is thus critical in the management of digital information because there are very few experts in this field which threatens our archival heritage.

In addition, technological obsolescence and a lack of resources were considered by most archival institutions as constituting the major threats to the survival of digital records. The conclusion that can be reached is that the leap into the info-tech world, whilst welcome, has its own fair share of challenges and provides archivists with numerous challenges. This could be the reason to explain why donor assistance for instance, was welcomed in an effort to overcome these myriad of challenges. In addition, networking through collaboration with professional associations, regional and international bodies could go a long way in fostering professional practice.

➤ **Relationship between national archives, political parties and former liberation movements in the management of records**

In the surveyed institutions, a content analysis of the existing legislation in the respective countries revealed that in some cases there was lack of precision with regard to the management of private archives, whereas in others this was clearly spelt out. Millar (2003) submitted that the first critical step in managing records effectively is to ensure the development and maintenance of a strong legislative and regulatory framework for records keeping. Records and archives legislation establishes the infrastructure within

which appropriate records and archives systems can be created and implemented. The conclusions that can be drawn are that the legislative apparatus dealing with the management of private archives lacks clarity and a defined programme of action. Merely acknowledging the existence of private archives in the form of registers, without adequately catering for them in terms of their administration, compounds the problem of this lack of clarity and definition. This largely explains the distrust and disharmony currently existing between state and private organizations in the management of this record.

In a nutshell, the majority of national archival institutions were not active in as far as the management of private records was concerned. The situation obtaining on the ground is that political parties of former national liberation movements have the sole mandate over these records and they have established their own archives that stand out independently of the national archives. The fact that liberation struggle archives, like for example the ANC, ZANU PF and SWAPO's SPARC are under the custody of ruling political parties is testimony. This state of affairs is not satisfactory as it is the thesis of this study that archives need to serve people and not political systems as is presently the case. Not surprising, areas cited as cause for concern in the management of private archives pertained to acquisition, arrangement, storage and custody, finding aids and access.

In addition, respondents cited policy reviews, legislation revisiting, co-operation and overhauling of curricula in the training of archivists in as far as the administration of private archives was concerned. It can thus be inferred that liberation struggle archives are under threat due to varying levels of mismanagement which calls for a change in professional values and priorities and for their implementation. Mazarire (2009) summed the situation by pointing to two of Zimbabwe's main liberation movements, ZANLA and ZIPRA:

Very little primary material has come from their private collections and it is public knowledge that both movements

still do not possess proper archives. Their age-old animosity continues to make any effort to reveal their individual collections a security concern and this way much of this crucial data has lacked systematic and proper care or been simply left to decay --- there is so much more crucial material in the hands of participants in the war who lack confidence in existing modes of documenting and archiving this liberation heritage. Material such as manuscripts, letters, rare photographs etc. has been encountered in people's private libraries, locked up in trunks in their basements or worse still, left in the custody of people who have no idea of its value.

This assessment helps to mirror the general situation with regard to private archives belonging to former national liberation movements' records and the next section deals with recommendations emanating from the research.

7.3 RECOMMENDATIONS

➤ Identification of liberation struggle archives

Records relating to liberation archives had been identified and commendable efforts were currently underway to professionally manage these records despite several teething challenges. As a result of the ethos of secrecy, few records were created by the national liberation movements during their struggles for independence, making it more mandatory for archivists to preserve the legacy of the liberation struggle that is contained in those few records that were indeed created. In addition, efforts need to be intensified to ensure that strays (records that have for various reasons ended up outside the country of origin) or archival resources not belonging to an authorized archival institution are repatriated to the original country. As has been noted already, this is a contentious matter and despite all UN, UNESCO and ICA resolutions there has been no agreement on guidelines for dealing with disputed archival claims and the potential restitution of the archives. Bilateral and, in some cases, multilateral agreements between states may assist - and

in fact have done so in a number of instances - in dealing with these problems.

A case in point is the multilateral agreement between SADC countries in their efforts to document the history of the liberation struggle in Southern Africa under the Hashim Mbita project. In addition, regional efforts by ESARBICA, whose Cape Town Declaration on liberation struggle archives (2003) was the precursor to the SADC project, are laudable and should continue. It is disheartening though to note that the commitment by governments within ESARBICA towards the success of this project is stalling due to crippling financial problems. The *Swazi Observer* (2009) quoted King Mswati appealing to member states for funding and pointing out that despite the financial problems, progress on the project had been noted by the Hashim Mbita research unit, as evidenced by the submission of draft chapters on the liberation of Southern Africa to the SADC Secretariat.

It was evident from this present research that the bulk of liberation struggle archives are in image form and considering that this type of record is susceptible to damage compared to paper; the need for its sound management cannot be overstated. Still photographic images form an integral part of a country's visual heritage and it was remarked by one respondent that these photographs were the embodiment of the struggle. In terms of their management, historical photographs are physically and chemically more complex than most archival materials. This fact calls upon information professionals to have a basic understanding of how they were made and how they age in order to maintain proper care (Ritzenthaler 1984a:8). In fact, photographs consist of several dissimilar materials, each of which reacts somewhat differently to the others in response to changes in the environmental conditions. This can result in stress and dimensional instability and the subsequent loss of the image. The overall implication is that archivists must be able to respond to the preservation needs of the entire assemblage in order to assure the preservation of the image (Ritzenthaler 1984b:95;

Jenkins 2005:43-51). What this means, as noted by Ritzenthaler (1984b:96), is that when devising preservation systems, the archivist must consider the image, structural materials and artifacts that are integral to a complete understanding of the history of photography.

However, the restoration of photographs is a complex field that requires specialized training and knowledge. It is thus recommended that archivists limit their activities to copying, to physical stabilization and especially to providing a suitable environment and leave actual treatments to qualified personnel (Ritzenthaler 1984b:120).

It is therefore discernible that conservation expertise is difficult to professionally develop and retain in developing countries and could perhaps explain why digitization of photographs is popular within the surveyed institutions in an effort to tackle the preservation problem. However, digitization is not preservation and reliance on preservation as a digitization strategy could place much material at risk (PADI 2009). It is thus advocated that archival institutions take recognition of hybrid environments whereby digitization and microfilming are used side by side; with digitization used for access and microfilm because of its long established history and international reputation used for preservation. Indeed historical photographs are a priceless part of our heritage whose loss is irreplaceable. The loss is not just in terms of physical deterioration or the mere result of being lost or misplaced.

The loss of photographs as archival records could be the result of having lost their usefulness or utility on account of the absence of related documentation or captions. Photographs are, by their very nature, visual and they therefore need to be seen to be understood. Savumthararaj (1995:57) noted that a potentially valuable photograph loses its value if there is nobody available who can describe the events depicted, or even guess who the personalities appearing in the photograph are. Liebenberg-Barkuizen (2005:57) suggested that in the documentation process, a comprehensive recording as possible, of

the historical and socio-political context of the photograph, is required to explain the motivation for and conditions under which the photograph was taken. This standard procedure is necessary to adhere to considering that in an archival institution, photographs form evidence of and illustrate events, tell stories and capture activities as they unfolded. Heritage institutions should, as such, give as much importance to their description as the effort it expends in acquiring photographs. In this regard, the innovativeness displayed by SPARC and others with the publication of the dossier on Namibia's liberation struggle history using photographs should be encouraged.

➤ **Mechanisms, policies and procedures to enhance archival management**

Lacovino (1998) observed that all aspects of records keeping have a legal ramification. Legislation therefore gives legality to archival operations and it follows then policies are offshoots of legislation as they are designed to outline the purpose, objectives and conditions which define the scope of archival activities, the authority under which they operate and the services offered to clients (Schwirtlich 1993:26). In short, policies establish a framework for the management of records within an archival institution.

Whilst it is acknowledged that the regulatory landscape in which both public and private archival enterprises are operating has its challenges, responsibility as to the management of liberation struggle archives should be a national responsibility and not be left to political parties that spearheaded the struggle considering that the documentary heritage of a country is at stake. Millar (2003) stated that a nation's *Public Records Act or Public Archives Act* must define the record-keeping process and confirm that this process must be supervised by a body separate from those responsible for executing the duties of government. The National Archives is the key agency responsible for the care of records held within ant location. This agency serves as an information auditor, responsible for protecting documentary evidence.

The foregoing view by Millar (2003) is seductive and gives onetime authorization to a body statutorily appointed to oversee records keeping. This is not to suggest that private archives be part of the state archival fonds as is the trend in socialist countries. Rather, Millar's (2003) view is that there should in every nation be a body that is entrusted by statute laws to manage this record for the benefit of the country's heritage wealth. Such an arrangement will not only give legal protection to private archives but will also go a long way in preventing their dispersal and destruction.

It is therefore recommended that legislation pertaining to the administration of private archives be reviewed or modernized in order for it to have a national scope and not be orientated towards individual political parties as is currently the case. Not only will this eliminate the animosity and competition between political parties, public archival institutions and private archives but it will ensure that the complete history of the liberation struggle is documented and made accessible. Not surprisingly, minority parties feel their voice has been sidelined in favour of major political movements, which explains the undermining in terms of the archival record and in terms of the presentation of history in general of the role played by other parties in the emancipation crusade of various countries.

Two examples of this are firstly the ZANU PF and the Mafela Trust Archives in Zimbabwe and secondly the ANC and PAC in South Africa. The Mafela Trust is an organization concerned with the recording and preservation of ZIPRA history. The national chairman of the ruling ZANU (PF), John Nkomo stated that there was an urgent need to record the true history of the Zimbabwe People's Revolutionary Army to reflect its role in the liberation struggle (Nkomo 2006). Meanwhile, in the South African context, Sapire (2009:274) observed that because it was the ANC rather than the PAC that emerged as the premier liberation movement, the role of the latter has been sidelined. In turn, there has been a tendency by historians of liberation movements to write from the perspectives of the victors and this is because the archival record of the ANC is more extensive and coherent.

This unilateral approach to the documentation of the liberation struggle history has led critics to point out that it is important to shift emphasis from a narrow formulation of victors' narratives to more nuanced and inclusive histories of struggle (Isaacman, Lalu and Nygren 2005:60).

More broadly, in order to be relevant to all citizens, the various archives in a country need to reflect all aspects of that country's past, without excluding one group in favour of another. Durrani (2000:1) noted that if information centres are to be relevant to those who are excluded, then information workers need to purposively support people's struggles against exclusion.

Legislation is a crucial tool in this regard and in a nutshell, legislation should recognize the need to give records a continuum of care through adequate documentation and take into view the changes wrought by digital technology.

➤ **Physical security of records**

It was noted that the need for an academic background with a substantial knowledge of history and training in historical research, together with archival training were prerequisites to becoming an archivist. A radical shift is called for as there is need to streamline curricula to reflect the changed approaches to the field. Onyancha and Minishi-Majanja (2009:108) stated that Library and Information Science (LIS) education and training in Africa is currently challenged to ensure that graduates have competencies that align the profession with current trends and perspectives. The 'heritage web' concept, for instance, points to the radical need for transformation due to the overlapping functions of information professionals in archives, libraries and museums in terms of the services they provide. Ngulube (2003) observed that the rapid changes in records keeping technologies and the preservation challenges presented by diverse media require constant upgrading of knowledge and skills among information professionals.

Ptolomey (2009:61-62) uses the term “hybrid information professionals” to collectively refer to archivists, librarians and museum curators and according to her, the development of this concept has to a large degree arisen out of the onset of ICTs. The skills required in view of this development are as follows (Ptolomey 2009:62):

- i. teaching and user education skills and experience;
- ii. experience and understanding of information literacy theory and practice;
- iii. good customer service skills;
- iv. IT skills beyond the basics;
- v. communication skills; and
- vi. ability to work in virtual learning environments.

In addition, it should also be pointed that training should equip information professionals with conservation skills and knowledge of the properties of materials in heritage institutions. Ngulube (2007b:60) stated that skills on preservation techniques are fundamental to implementing a preservation programme. Similarly Dearstyne (1993:164) pointed out that staff who deal with records should have general understanding of the physical nature of their materials, the causes of deterioration, and the practices and procedures that can help sustain materials.

Churning out graduates in conservation techniques and skills could provide the solution to the gap currently existing with regard to specialized skills in the heritage sector though the quality and experience is subject to debate. Furthermore, it remains unclear as to whether the correct balance between theory and practical work will be achieved in order to come up with the required expertise. In addition, the fact that the present research revealed that media expertise was mostly invested in paper based materials as compared to digital formats, means that such training needs to be carefully designed in order to correct this imbalance. It is also recommended that private archive administration be included in archival training courses. In

addition the co-operation between heritage institutions and professional associations will ensure that private archives are administered according to archival principles and procedures.

One of the security apparatus that is of paramount importance in any security arrangement is the visitors' register which gives details of researchers so that access is monitored. The visitors register needs to be administered consistently and storage areas should not be accessible to non-authorized staff or members of the public. Taking stock of an institution's holdings at least once a year is fundamental as it enables one to identify missing items and take note of materials that need restoration. Space remains a nagging problem in archival institutions but liberation struggle archives should be kept separately from other holdings lest this compromises the provenance principle.

The heating, ventilation and air conditioning (HVAC) system was one of the strategies noted by respondents in order to control and monitor temperature and RH. Mazikana (1995) reported about fifteen years prior to the present study, that the HVAC system had broken down in most archival institutions within ESARBICA and this appears to be the case presently, albeit with some improvements as archival institutions are struggling to maintain the HVAC though a slight improvement was noted. This system needs to be regularly maintained and service records thereof consistently kept. However, this climate control provided by HVAC systems is costly and difficult to install which makes it prohibitive for many countries within ESARBICA. It is therefore recommended that passive methods of climate control be adopted through the designing of custom built buildings that have certain specific architectural features to facilitate these conditions and this is explained below, together with other affordable measures that have the same objective.

➤ **Preservation needs**

The provision of a conducive environment for archival material is a prerequisite and this calls for proper housing for this material. Rhys-Lewis

(2000) noted that the starting point in developing a strategy to maintain material that is affected by its surroundings is to ensure that the building in which it is housed meets the basic requirements for the storage of library and archive materials. It follows then that the construction of purpose built buildings is mandatory if the survival of liberations struggle archives is to be guaranteed. The advantage of purpose built structures is that their design allows “natural” methods of air-conditioning in order to reduce the installation, energy and maintenance costs.

Williams (2006:182) noted that the cheapest option is to have a building that is solidly constructed and well insulated which relies on the high thermal inertia of the building structure, where internal and external ambient temperature and humidity are balanced. Such buildings are climate responsive and need to be complemented by the use of microenvironments such as folders, boxes, envelopes and polyester film that protect documents against rapid fluctuations in temperature and humidity, dust, light, atmospheric pollutants and mechanical damage.

In addition, a constant air flow could be maintained throughout the facility during operating hours as a minimum requirement. This could be achieved through methods such as the use of ceiling fans, cross-ventilation of the building and various mechanical means. Good housekeeping (cleaning) practices are also essential. With regard to shelving in storage areas, steel is preferred because it is non-combustible compared to wood which is combustible and a food source for many insects. It is also a must that archival institutions fully equip themselves with the capacity to respond to unforeseen eventualities like disasters. According to Dearstyne (1993:172), disaster preparedness is a worthwhile and necessary aspect of archival work.

➤ **Role of ICTS**

The advent of information communication technologies has had a “transformative” influence on the archival operations of the surveyed institutions. The large-scale digitization projects currently underway reflect

the fact that digitization is either functional or preservation orientated. Functional digitization is aimed at improving the ease of large scale access to material already in regular and fairly widespread use. Wilford (2008) submitted that the documentary material is now being delivered by electronic caravan, meaning that it is travelling to remote places. Roberto (2008:225) pointed that the online digital world provides numerous opportunities for the archival profession – opportunities that professionals should take or make for themselves. Taking responsibility seriously requires taking an active role in the process of collecting and constructing the archival heritage.

Functional digitization is evidence of public programming and Page-shipp (2009:25; Mnjama 2009) argued that this was a worthwhile endeavour considering that collections that remain sequestered provide no value to anyone barring the few who can afford to travel to the source and overcome the resistance of collection guardians. Conversely, some archival institutions hold the view that making their resources available online deprives them of the much needed revenue as researchers will no longer be required to pay for research fees as they will be able to access material from the comfort of their homes, offices and so on.

On the other hand, preservation orientated digitization is targeting unstable materials prone to deterioration and technological obsolescence but as has been noted earlier on, digitization is not a recommended preservation strategy.

Still others view this digitization as cultural imperialism. Depending on which angle one looks at digitization, the onset of new technologies can be seen as a double edged sword as there are a number of positive and negative benefits that can be harnessed in order to put the information profession on a sound footing thereby safeguarding Africa's cultural heritage. Appropriate procedures that need to be adopted include countries coming up with national policies on digitization of the heritage sector to regulate the expropriation of cultural property. Allied to these national policies is the need for further

research to establish an ethically grounded middle road that satisfies all stakeholders including the needs of researchers, the broader public and archivists themselves. This “middle road” might for example embrace the accessibility which digitization offers while not neglecting the irreplaceable uniqueness of the “hard copy”, the original record, not to mention keeping in sight the fact that many of those with a stake in the records (ordinary citizens without internet access or computer literacy, for example) may be excluded by an over-reliance on digitized records.

It is further recommended that archivists should marry digitization with microfilm whereby digitization is mostly used for access whilst microfilm is used for preservation. The recognition and implementation of these hybrid documentary strategies will ensure that the heritage of a country is safely captured for the benefit of posterity irrespective of the problematic nature of the medium and its content. Archival institutions are also encouraged to migrate their records to new hardware and software platforms for compatibility purposes. Heslop, Davies and Wilson (2002) rightly pointed out that in view of the fact that technology cycles are short, it therefore follows product lifetimes also tend to be short. The implications of this largely market-driven instability are two-fold: rapid decay and technological obsolescence. The intervention by archivists to preserve the source and process is therefore called for and this is realized by establishing a constant media refreshing program in order to ensure the survival of digital material.

It is proposed that archival institutions adopt the two long-term preservation approaches often advocated within the archival and library preservation communities namely migration and emulation. Migration is the process of converting a digital object from one data format to another. Generally, archivists use migration as a way of ensuring the accessibility of a digital record when the software it depends on becomes obsolete. Concern has been raised that some attributes of the record may be lost during the conversion process and therefore the “record” so created may not be authentic or equivalent to the original. Heslop, Davis and Wilson (2002) argued that the

level of data loss through migration depends on the number of preservation treatments applied to the record, the choice of process, the new data format, the level of human intervention and post-migration descriptive work.

On the other hand, emulation is an approach which keeps the source digital object in its original data format but recreates some or all of the processes require to view it (for instance, the hardware configuration or software applications such as operating systems), enabling the performance to be recreated on current computers (Heslop, Davis and Wilson 2002; Williams 2006:193). Advocates of the emulation approach often maintain that the exact 'look and feel' of the record must be preserved, and that recreating the exact functionality of the original processes is the best way of doing this. The look and feel includes not only the content of the record, but also the tangible aspects of its presentation, such as colour, layout and functionality.

It should however be pointed out that both approaches have their limitations in terms of sustainability, "look and feel" and accessibility. Migration and emulation require a large amount of resources upfront and over the long-term. Migration involves intensive cyclical work to convert objects in obsolete format to current formats whilst emulation requires highly skilled computer programmers to write the emulator code and sophisticated technologies to deal with any intellectual property and copyright issues that may arise when emulating proprietary software.

In view of the fact that most archival institutions are operating on shoe string budgets, these approaches would be unsustainable. In terms of the "look and feel" issue, neither approach (migration and emulation) has an informed, formal mechanism for capturing this aspect. Furthermore, in terms of access, emulation requires one to have access to the emulation environment on the computer and to learn the original computing environment. These restrictive requirements give migration the advantage as it requires fewer specialized skills or software to make records accessible hence its recommendation, despite the possible loss of the original 'look and feel'.

➤ **Relationship between national archives, political parties and former liberation movements in the management of records**

The legislative instruments dealing with the management of private archives are outdated, lack clarity and are punctuated by latent passivity. Jonker (2009:67) rightly pointed out that archival legislation, which still focuses on public records, cannot ignore the growing importance of private records in the fabric of society's archival memory. Legislation needs revisiting so as to give onetime authorization and responsibility to a body nationally in charge of archival administration. Such endorsement will eliminate the confusion and competition currently prevailing. Compiling registers of private records as is happening in some countries is cosmetic, testimony to the abdication of responsibility and only serves to compound an already precarious situation that needs to be confronted head-on. In view of the fact that liberation struggle archives are a nation's heritage or cultural capital as put forward by Deacon et al (2003), it is the thesis of this study that liberation struggle archives are like other historical records but that the deeply emotional value and the importance attached to this significant epoch is what makes them unique, irreplaceable and a particularly prized asset hence their need to be jealously guarded at national and not organizational level. Cox (2009:229) noted that archives sustain us, provide meaning, give us a place in posterity and as Dearstyne (1993:197) submitted, they provide insights into the human condition.

7.4 SUGGESTIONS FOR FUTURE RESEARCH

The present study on the management of records and archives of former national liberation movements has highlighted a number of issues that need further exploration. The problems that were encountered in data collection in section 4.8 of Chapter Four and the limitations of the current research that were identified in section 4.11 of Chapter Four mean that there is more research that needs to be done. The following areas are suggested for future studies:

- i. There is need to repeat the same study in the future, drawing in a wide range of institutions holding similar records. In addition, the role of prominent historians who have vast knowledge and experience on the subject of liberation struggles should not be undervalued. The use of interviews and observation in private archival institutions holding liberation struggle archives and the input of historians will help shed light as to what is happening in as far as the management of this record is concerned;
- ii. There is need to research more on digitization as a preservation strategy thereby identifying how far this method can go in terms of providing long term maintenance of the records. The paucity of reliable information on the management of digital objects within ESARBICA is because preservation efforts are biased towards paper records and archives as research has shown;
- iii. There is need for a study that examines the role of historians and ICT professionals in archival management issues particularly on ethical matters concerning preservation;
- iv. Further research should be conducted on records of social movements, pressure groups and voluntary organizations that do not fall under the genre of liberation struggle archives. As has been noted, the precise definition of national liberation movement is fraught with complexities in view of the variables involved;
- v. There is need for more research to establish how outsourcing is assisting in digitization and the extent of the availability of outsourcing facilities; and
- vi. Further research should also establish how donor funding is impacting on digitization projects and this could possibly help clarify some of the outstanding issues surrounding the technical, political and social implications synonymous with digitization.
- vii. There is need for more research to examine how advocacy and awareness efforts can be bettered in order to regain the confidence of liberation struggle veterans, their associations or families for them to

avail these private materials. The feasibility of creating alternative repositories that compliment whatever efforts have been in place to archive this liberation heritage needs to be explored and given serious thought.

7.5 SUMMARY

The major conclusions based on the findings as well as the major recommendations of this study were the highlights of this chapter. The findings revealed that liberation struggle archives predominantly exist in image form and that in terms of their management; photographs require information professionals to have a basic understanding of their inherent inert properties in order to maintain proper care of these records. The restitution of liberation struggle archives was ongoing despite the complicated nature of the process. Much effort needed to be focused on bilateral agreements between countries in order for this to be realized.

Generally, archival administrative practices were in existence though these could be improved upon in order for liberation struggle archives to be professionally cared for. Collections stewardship is central to the mission of all cultural heritage institutions which explains why the present research tabled a number of recommendations, but what urgently needed to be addressed was the need to modernize legislation in order for liberation struggle archives to be taken care of at national and not organizational level as is presently the case. The conclusion was reached that the laws that govern the national archives of countries within ESARBICA are wholly inadequate when it comes to the management of the private record. The records continuum model was endorsed for application in these archives because of its holistic approach, pragmatism and that it is technologically driven.

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APPENDICES

Appendix 1: List of postal and street addresses of private and public archival institutions in east and southern Africa

A. PRIVATE ARCHIVAL INSTITUTIONS

A1. SOUTH AFRICA

The Alan Paton Centre & Struggle Archives

University of KwaZulu-Natal

Private Bag X01

Scottsville

3209

South Africa

Tel: (033) 2605926; fax (033) 2606143

email: koopmanj@ukzn.ac.za or liebbe@ukzn.ac.za

DISA - Digital Innovation South Africa

University of KwaZulu-Natal

Howard College Campus

EG Malherbe Library Room G029

King George V Avenue

Durban

4001

South Africa

Tel: 27 31 260 1705

Fax: +27 31 260 3550

Gandhi-Luthuli Documentation Centre

Westville Campus

University of UKZN

Private Bag X54001

Durban 4000

Tel: 27-031- 2607350

Email : Chettyka@ukzn.ac.za

Liberation Archives - University of Fort Hare

African National Congress Archives

University of Fort Hare

Library

Private Bag X1322

Alice 5700

South Africa

Tel: +27 40 602 2515

E-mail: mmaamoe@ufh.ac.za

Nelson Mandela Foundation**Physical Address**

107 Central Street

Houghton

2198

South Africa

Mailing Address

Private Bag X70000

Houghton

2041

Tel: +27 11 728 1000

Facsimile: +27 11 728 1111

Website: www.nelsonmandela.org

UWC-Robben Island Mayibuye Archives

Robben Island Museum

Private Bag

Robben Island

Cape Town 7400

Tel: +27(0) 21 409 5100

Fax: +27(0) 21 4111 059

A2. ZIMBABWE

Zimbabwe African National Union Patriotic Front (ZANU PF)

Cnr. Rotten Row and Samora Machel Avenue

P. Box 4530

Harare

Tel. (4) 753329

Fax (4) 774146

Website: www.zanupfpub.co.zw

Mafela trust

No. 6 Robert Mugabe Street

P.O.Box 89

Queenspark

Northend

Bulawayo

Tel. (9) 202628

Email: Ziptru@justice.com or mafela@comone.co.zw

B. PUBLIC ARCHIVAL INSTITUTIONS

1. Arquivo Historico Nacional Angola

E Investigacao Historica

R. Pedro Felix Machado

No. 49 Luanda

Angola

Tel: +244 333512, 323979

Fax: +244 323979

2. Botswana National Archives and Records Services

P.O. Box 239

Gaborone

Botswana

Khama Crescent

Government Enclave

Telephone; 267 311 820

Fax: 267 308 545

E-mail: kkgabi@gov.bw

3. Kenya National Archives and Documentation Services

P.O. Box 49210, 00100

Nairobi

Kenya

Tel: 254-02-228959

Fax: 254-02-228020

E-mail: knarchives@kenyaweb.com

4. National Archives of Lesotho

P.O. Box 52

Maseru 100

Lesotho

Tel: 266 313034 ext. 45

Fax: 266 310194

E-mail: qhops@tourism.go.ls

5. National Archives of Malawi

P.O. Box 62

Zomba

Mkulichi Road

Malawi

Tel: 265 524184, 525240

Fax: 265 524148-33

Email: archives@sdpn.org.mw

6. National Archives of Mozambique

CP 2033

Maputo

Mozambique

Ava. Filipe Magaia, 715, r/c

Tel: 258 1 42-11-77

Fax: 258 1 42-34-28

E-mail: ahm@ahm.mz

ahm@zebra.uem.mz

Jneves@zebra.uem.mz

7. National Archives of Namibia

Director
P. Bag 13250
Windhoek
Namibia
Tel: 264 61 2935213
Email:
joche@natarch.mec.gov.na

8. National Archives and Records Services of South Africa

P. Bag X236
Pretoria 0001
24 Hamilton Street
Arcadia, Pretoria
South Africa
Tel: +27 12 323 5300
Fax: +27 12 323 5287
E-mail:
arg02@dacst4.pwv.gov.za

9. National Archives of Swaziland

POB 946
Mbabane
Swaziland
Tel: 268 61276, 416-1278
Fax: 268 416-1214
E-mail:
sdnationalarchives@realnet.co.sz

10. National Archives of Tanzania

POB 2006
Dar es Salaam
Vijibweni Street
Tanzania
Tel: 255 51 151279, 150634
Fax: 255 51 150634
E-mail: dram@intafrica.com

11. National Archives of Zambia

POB 50010

Government Road, Ridgeway

Lusaka

Zambia

Tel: 260 1-254-080

E-mail: naz@zamnet.zm

12. Zanzibar National Archives

POBB 16

Zanzibar

Tel: 255 54 230342

Fax: 255 54 235241

E-mail: dama@zitec.org

13. National Archives of Zimbabwe

Borrowdale Road Gunhill

P. Bag 7729

Causeway

Harare

Tel: 263-4-792741/2/3

Fax: 263-4-792398

E-mail: archives@gta.gov

Appendix 2: Letter of informed consent to participants

INFORMED CONSENT DOCUMENT

PROJECT TITLE: An investigation into the management of the records and archives of former liberation movements in east and southern Africa held by national and private archival institutions.

AIMS:

- establish the location, custody, volume, composition, condition and management of liberation struggle archives;
- examine infrastructure issues comprising policies, procedures and resources for their management;
- assess the physical security of these records to ensure their long-term preservation
- conduct a preservation needs assessment
- investigate the role of ICTs in the provision of new opportunities for the management of liberation struggle records
- assess the role of national and private archival institutions in managing these records and establish the existing relationships between them and Government or political parties
- suggest a model that may address records and archives issues in the management of the records.

PROJECT JUSTIFICATION

The struggle to liberate the continent of Africa from colonialism was a profound and all-time consuming one for Africans (Dominy 2004:1) and as such this history needs to be documented accurately in whatever form for the benefit of posterity. The struggle for liberation led to the attainment of national independence and the birth of new nations was a result of a protracted struggle by different movements that had one common objective of dismantling settler colonialism. Citizens revere archives associated with great events or persons in history and

the crusade for emancipation was no exception hence the need for its documentation for posterity's sake.

It is interesting to note that the East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) has realized that these records have been neglected and hence the need to preserve them as they are a national asset and part of Africa's heritage (ESARBICA 2003). The Cape Town Declaration on Archives in Africa, 20-21 October 2003, highlighted the fact that the archival heritage of Africa, in all aspects – oral and written – was ignored, marginalized and plundered during the colonial era (Cape Town Declaration 2003). The Declaration further stated that the archival heritage of Africa be it in written, oral or electronic form, remains a precious resource that must be well managed, carefully preserved and made accessible to all, in this and forthcoming generations.

REQUIREMENTS

The purpose of this study is to examine records and archives management practices of these national liberation movements and propose a model for the efficient management of information. The study will gather data on policies, storage and handling of records and archives, access, education and training, formats and condition of media on which records and archives are captured. Thus, I would gladly appreciate if you could spare a few minutes of your valuable time to answer as carefully and completely as possible all the questions in this questionnaire. Please, be rest assured that all your responses will be kept confidential and only used for the purpose of this research. Data will be presented only in aggregate; responses will not be attributed to particular respondents or organizations.

CONTACT DETAILS:

Francis Garaba
Information Studies
School of Sociology and Social studies
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Pietermaritzburg campus
Private Bag X01
Scottsville 3209
South Africa
Telephone: 033-2605007; Fax: 033-2605092
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PROJECT LEADERS DETAILS:

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0003
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Professor Christine Stilwell
Information Studies
School of Sociology and Social studies
University of KwaZulu-Natal
Pietermaritzburg campus
Private Bag X01
Scottsville 3209
South Africa

Telephone: 033-2605095; Fax: 033-2605092

Email: stilwell@ukzn.ac.za

DECLARATION

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.

SIGNATURE OF PARTICIPANT

DATE

.....

Appendix 3: Introduction letter for pre-testing instruments

I am a student at the University of KwaZulu-Natal, South Africa. I am doing a doctoral research project entitled:

An investigation into the management of the records and archives of former liberation movements in east and southern Africa held by national and private archival institutions.

The main purpose of this research is to:

- establish the location, custody, volume, composition, condition and management of liberation struggle archives;
- examine infrastructure issues comprising policies, procedures and resources for their management;
- assess the physical security of these records to ensure their long-term preservation
- conduct a preservation needs assessment
- investigate the role of ICTs in the provision of new opportunities for the management of liberation struggle records
- assess the role of national and private archival institutions in managing these records and establish the existing relationships between them and Government or political parties
- suggest a model that may address records and archives issues in the management of the records.

To help facilitate my data collection instruments in order to extract relevant data in terms of validity and reliability and contents, I am conducting a pre-test on the questionnaire/observation/interview protocol to be used for the study. I kindly request your assistance to scrutinize my instruments and comment on their content and clarity. Your efforts will be highly appreciated.

Thank you in advance for your co-operation.

Yours faithfully

Francis Garaba

Mobile: 0745135910

Email: 202520139@ukzn.ac.za

Appendix 4: Introduction letter from the Information Studies Programme, University of KwaZulu-Natal

11 October 2008

TO WHOM IT MAY CONCERN

Letter of introduction: Mr. Francis Garaba Student No. 202520139 (Information Studies Programme)

This letter serves to introduce Mr Francis Garaba who is registered as a PhD student at the University of KwaZulu-Natal. Mr Francis Garaba is currently carrying out a study on the management of records and archives of national liberation movements in east and southern Africa. The purpose of this study is, inter alia, to examine whether records in these organizations are being managed throughout their lifecycle and to locate and identify where these archives of national liberation movements are. The information obtained and the resultant recommendations could assist in decision-making.

In order to undertake the study, Mr Francis Garaba will need to distribute a questionnaire and conduct interviews and observations in public and private archives in the region. In that light, the Information Studies Programme kindly requests you to render any possible assistance to Mr Francis Garaba in order to facilitate the conduct of the study.

If you require any clarification pertaining to the study, please, feel free to contact Prof. Patrick Ngulube, who is the supervisor of the research, on telephone 27124292832 or email ngulup@unisa.ac.za.

Thank you in advance in anticipation.

Yours faithfully

Prof Patrick Ngulube (Supervisor)

School of Sociology and Social Studies

University of KwaZulu-Natal

Private Bag X01

Scottsville 3209

South Africa

Tel: +27 (0) 12 4292832

Fax: +27 (0) 33 2605092

ngulup@unisa.ac.za

Appendix 5: Pre-test checklist of Questionnaire and Interview schedule for Archives personnel: An investigation into the management of the records and archives of former liberation movements in east and southern Africa held by national and private archival institutions.

1 (a) Does the questionnaire have any typing errors?

Yes []

No []

(b) If yes, please indicate them in the questionnaire

(c) Does the interview schedule have any typing errors?

Yes []

No []

(d) If yes, please indicate them in the interview schedule.

2 (a) Does the questionnaire have misspelt words?

Yes []

No []

3 (a) Is the questionnaire font size sufficient for reading?

Yes []

No []

(b) If no, please provide suggestions

4 (a) Are the questions in the questionnaire clear?

Yes []

No []

(b) If no, please provide suggestions for the questions that are not clear

(c) Are the questions in the interview schedule clear?

Yes []

No []

(d) If no, please provide some suggestions for questions that are not clear

5 (a) Are the instructions provided for filling the questionnaire clear?

Yes [1]

No []

(b) If no, please provide some suggestions

(c) Are the instructions provided for filling the interview schedule clear?

Yes []

No []

(d) If no, please provide some suggestions

6 (a) Is the question layout clear?

Yes []

No []

(b) If no, please provide some suggestions

(c) Is the interview schedule layout clear?

Yes []

No []

(d) If no, please provide some suggestions

7 Kindly provide suggestions which will help improve the quality of the questionnaire

8 Kindly provide suggestions which will help improve the quality of the interview schedule

Thank you very much for your time in pre-testing the research instruments.

Could I have your feedback using the following email address:

202520139@ukzn.ac.za

Appendix 6: Observation checklist for records of national liberation movements: Background information

Name of organization -----

Address -----

Telephone -----

Email -----

Date of observation -----

A. BUILDING DESIGN

General	<input type="checkbox"/>	Purpose-built	<input type="checkbox"/>
Multi-purpose	<input type="checkbox"/>	Converted	<input type="checkbox"/>

B. HOUSE-KEEPING PRACTICES

Excellent	<input type="checkbox"/>	Good	<input type="checkbox"/>
Fair	<input type="checkbox"/>	Poor	<input type="checkbox"/>

C RECORD GROUPS

a) Paper	<input type="checkbox"/> Yes	<input type="checkbox"/> No
----------	------------------------------	-----------------------------

- | | | |
|---|------------------------------|-----------------------------|
| b) Photographs | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| c) Magnetic tapes | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| d) Electronic records | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| e) Video tapes | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| f) Microforms (microfilm, microfiche etc) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| g) Maps | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| h) Audio tapes | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| i) Drawings | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| j) Slides | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

k) Other

General comments

D. RELATIVE HUMIDITY AND TEMPERATURE CONTROL

Equipment	Yes	No	Equipment	Yes	No
Air conditioners			Psychrometer		
Thermometer			Temperature and humidity data logger		
Hygrometer			Humidity indicator strips		
Hygrothermograph					

General observations

E. GENERAL SECURITY

Use of security personnel	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Visitors register	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Are visitors registered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Staff identity cards	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Any anti-smoking signs displayed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Cloakroom for visitors' bags	<input type="checkbox"/> Yes	<input type="checkbox"/> No
CCTV	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Alarm system	<input type="checkbox"/> Yes	<input type="checkbox"/> No
HVAC	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Cameras	<input type="checkbox"/> Yes	<input type="checkbox"/> No

General comments

Fire protection equipment

Strategies to control the spread of fire	Yes	No
Fire extinguishers – Multipurpose		
- Electrical		
- Water		
- Carbon dioxide		
Smoke detectors		
Water sprinklers		

General observations

F. FINDING AIDS

TYPE	YES	NO
Inventories		
Calendars		
Indexes		
Card catalogue		
Descriptive lists		

General comments

G. LIGHT

TYPE OF ARTIFICIAL LIGHTING	YES	NO
Fluorescent		
Incandescent		
Bulbs		
Others		

General comments

RECORDS PROTECTION FROM LIGHT	YES	NO
Window shutters		
Window blinders		
Use of timer switches in storage areas		
Lights turned off in use and handling areas when areas not occupied		

Other check point areas

Check disaster control plan ☐ Yes ☐ No

General comments

Computers

Existence of computers ☐ Yes ☐ No

Website – functional ☐ Yes ☐ No

- non-functional ☐ Yes ☐ No

- details

General comments

Computer applications in archives management

☐ Yes

No ☐

General comments

Outreach strategies

☐ Yes

No ☐

General comments

Search room code of practice

Control desk manning

☐ Yes

No ☐

Notices instructing researchers

☐ Yes

No ☐

General comments

Appendix 7: Interview schedule for archives personnel in national and private organizations administering records and archives of former national liberation movements in east and southern Africa

Dear respondent

I am a student at the University of KwaZulu - Natal studying for a PhD in Information Studies. For my thesis, I am conducting a study entitled: **An investigation into the management of the records and archives of former liberation movements in east and southern Africa held by national and private archival institutions** under the co-supervision of Professor Christine Stilwell and Professor Patrick Ngulube.

The purpose of this study is to examine records and archives management practices by national and private archival institutions in former national liberation movements and propose a model for the efficient management of their information. The study will gather data on policies, storage and handling of records and archives, access, education and training, formats and condition of media on which records and archives are captured. The purpose of this communication is to kindly request you to set aside some time for an interview, which will enable me to come up with data to address my study objectives. The information provided will be kept in confidence and only used for the current study.

If you have any questions regarding the study, please contact me at 202520139@ukzn.ac.za or my supervisors at stilwell@ukzn.ac.za or ngulup@unisa.ac.za

Yours faithfully

Francis Garaba
Information Studies Programme
School of Human and Social Studies
University of KwaZulu- Natal

Private Bag X01 Scottsville

Pietermaritzburg 3209

South Africa

Tel. 2733/2605007 Ext. 6237

Fax: 27332605092

Background information

Department -----

Designation -----

Address -----

Telephone -----

E-mail -----

Website -----

Date of interview -----

Place of interview -----

1. Does your institution seek to obtain copies of liberation struggle archives when the originals are unobtainable? If yes, what media is preferred for copies?

a) Full-size copies ☐ Yes ☐ No

b) Roll microfilm ☐ Yes ☐ No

c) Microfiche ☐ Yes ☐ No

2. Does your institution currently have any written policies for managing digital materials pertaining to liberation struggle archives?

☐ Yes ☐ No

3. If "Yes", where are these located?

a) Website (give website details) -----

b) Publication -----

c) Other, please explain

4. If "Yes", does policy provide guidelines for:

a) Acquiring materials in digital form ☐

b) Conversion of materials from print to digital form ☐

c) Refreshing ☐

d) Migration ☐

5. Does your institution have any agreed standards or guidelines for the long-term preservation of electronic records? **[] Yes No []**

6. If "Yes", is there any documentation?

a) Website-----

b) Publication-----

c) Other, please explain

7. Are there any digital materials in your holdings for which you lack the technical capacity to read and access? **[] Yes No []**

8. If "Yes", please give details

9. Do you refresh digital records? **[] Yes No []**

10. If "Yes", how frequent -----

11. Do you migrate digital records? **[] Yes No []**

12. If "Yes", how frequent -----

13. How would you rank the following factors as threats to the loss of digital materials at your institution? 1 = greatest threat, 2= moderate threat, 3 = smallest threat, 4 = no threat, 5 = undecided

a) Physical condition 1 = greatest threat, 2= moderate threat, 3 = smallest threat, 4 = no threat, 5 = undecided

b) Technological obsolescence 1 = greatest threat, 2= moderate threat, 3 = smallest threat, 4 = no threat, 5 = undecided

c) Insufficient policy 1 = greatest threat, 2= moderate threat, 3 = smallest threat, 4 = no threat, 5 = undecided

d) Lack of resources 1 = greatest threat, 2= moderate threat, 3 = smallest threat, 4 = no threat, 5 = undecided

e) Other, please specify

14. Are liberation struggle records and archives currently open to use?

[] Yes No []

15. If "No", please explain -----

16. Are users made aware of their access rights and their responsibility to comply with the policies and regulations of your archival institution?

[] Yes No []

17. What are some of the obstacles you are faced with to the use of liberation struggle records and archives?

- a) Physically locating them **[]**
b) Lack of finding aids **[]**
c) Necessary equipment not available (microfilm readers for example)

[]

d) Records have deteriorated beyond use **[]**

e) Processing backlog **[]**

f) Other, please specify

18. Do you have a reading room for consulting archival materials?

[] Yes No []

19. Give an estimation of the average number of research requests received last year in the following categories:

- a) Regular mail letters
- b) Electronic mailrequests
- c) In person daily visits
- e) No research requests received []

20. What equipment does your organization have at its disposal for use in managing or making your records and archives available?

- a) Photocopier(s) []
- b) Microfilm reader(s) []
- c) Tape/video players []
- c) Computers []
- d) Other, please specify

21. Which of the following strategies do you use in your public programming activities?

- a) Brochures []
- b) Exhibitions []
- c) Electronic media []
- d) Print media []
- e) Fillers []
- f) Public lectures []
- g) Workshops and seminars []
- h) Publications []
- i) Newsletter []
- j) Other, please specify –

22. Do you have a written public programming plan? [] Yes No []

23. Does your office have guidelines for identifying requirements to make records accessible? [] Yes No []

24. Do you have in your office a copy of the Freedom of Information Act?

[] Yes No []

25. Which of the following tools for the retrieval of records does your office have in place?

a) Drawer labels **[]**

b) Indexes **[]**

c) Use of colour to identify different records **[]**

d) Automated retrieval systems **[]**

e) Other, please specify **[]**

26. Do archives in your institution contain the following categories of material?

a) Oral history recordings, that is, tapes, cassettes and transcripts of interviews with individuals, speeches, readings etc

[] Yes No []

b) Photographs, cine film, video tapes, microforms **[] Yes No []**

c) Maps, charts, plans etc **[] Yes No []**

d) Copies of published works **[] Yes No []**

e) Machine-readable items **[] Yes No []**

f) Other, please specify

27. Does your institution maintain a register of accessions?

a) Date of accession **[] Yes No []**

b) Whether gift, purchase, loan or transfer **[] Yes No []**

c) Provenance **[] Yes No []**

d) Restrictions on archives **[] Yes No []**

e) Copyright position **[] Yes No []**

f) Size of accession **[] Yes No []**

- g) Brief description of contents **[] Yes No []**
- h) Physical state of accession and whether fumigation or repair is required **[] Yes No []**
- i) Whether any material transferred to another section **[] Yes No []**
- j) Other information, please specify

28. Are archives or manuscripts from the same source kept together in your institution or arranged with other papers of the same size, subject matter or language?

[] Yes No []

29. Are archives in your institution arranged and described?

- a) By a qualified archivist? **[] Yes No []**
- b) By another person? **[] Yes No []**

Please specify

30. Does your institution allow access to unlisted or catalogued archives in its care? **[] Yes No []**

31. What forms of finding aids to archives are in use in your institution?

- a) Inventory or summary list **[]**
- b) Descriptive list (when the unit is a file, bundle or volume) **[]**
- c) Catalogue, or item by item description **[]**
- d) Calendar **[]**
- e) Card catalogue **[]**
- f) Indexes **[]**
- g) Other forms? **[]**

Please specify

h) Please give details of any published guide/s to archives in your institution

32. Do the following conditions apply to the storage of archives in your institution?

a) Are archives and manuscripts kept separately from other holdings in your institution?

☐ Yes ☐ No

b) Does the area occupied by your archives have continuous air-conditioning and humidity control?

☐ Yes ☐ No

c) Are there windows in the storage area?

☐ Yes ☐ No

If yes, are measures taken to prevent direct sunlight from entering through the windows?

☐ Yes ☐ No

d) Are measures taken to keep storage area free from pests?

☐ Yes ☐ No

If yes, what methods are used?

e) Are precautions taken against fire?

☐ Yes ☐ No

If yes, please specify

f) Are precautions taken against flood?

☐ Yes ☐ No

If yes, please specify

g) Are precautions taken against theft? ☐ Yes ☐ No ☐

If yes, please specify

33. Estimate percentage of archival holdings stored in:

a) Acid free folders or boxes -----

b) Non-archival containers -----

c) Wrapped bundles -----

d) Other (please specify)

34. Are archives and manuscripts in your institution stored?

a) On steel shelving ☐ Yes ☐ No ☐

b) In steel cabinets ☐ Yes ☐ No ☐

c) Other (please specify)

35. Do members of the public consult archives in a supervised reading room?

☐ Yes ☐ No ☐

36. Is conservation work carried out on archives in the care of your institution? ☐ Yes ☐ No ☐

If yes, which of the following are used?

a) Traditional technique ☐

b) Lamination ☐

c) Encapsulation ☐

d) Other, please specify

37. Does your institution have any of the following conservation facilities?

- | | |
|---|---|
| a) Vacuum fumigator or similar equipment | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| b) Humidification chamber/equipment | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| c) Specialised cleaning equipment | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| d) Deacidification equipment | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| e) Thermoplastic laminator | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| f) Hand lamination equipment and supplies | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| g) Encapsulation equipment and supplies | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| h) Leaf-casting equipment | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| i) Binding equipment | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| j) Other, please specify | |

38. What restrictions are placed on access to archives in your institution, either at the request of the donor or depositor or by policy decision of your institution?

39. What is the policy of your institution with regard to requests from scholars, other institutions etc:

a) For copies from archives and manuscripts in your care?

b) Requests to publish extracts from archives and manuscripts in your care?

40. Does your institution offer advice to owners of archives and manuscripts on?

a) Suitable repositories to deposit their archives? **[] Yes No []**

b) Preservation? **[] Yes No []**

c) Arrangement? **[] Yes No []**

d) Other matters, please specify

41. Does your institution:

a) Carry out conservation work for owners of archives and manuscripts?

[] Yes No []

b) Arrange and describe holdings? **[] Yes No []**

42. What legislation affecting your archives exists in the country in respect of:

a) A central registry of private archives?

b) Acquisition of private archives by public or other repository?

c) Access to private archives?

d) Controls on exports?

e) Other matters, please specify

43. a) Is there a central registry of private archives or its equivalent in your country **[] Yes No []**

If yes, please give details

b) Is there a published guide to private archives in your country?

[] Yes No []

If yes, please give details

44. Are relations between repositories in your country generally harmonious as far as the acquisition of private archives is concerned?

[] Yes No []

45. a) In your opinion, is the general situation in your country, in respect of private archive administration satisfactory? **[] Yes No []**

b) Which of the following would you select for special concern?

- | | |
|---------------------------------------|------------|
| i) Physical state of private archives | [] |
| ii) Storage and custody | [] |
| iii) Arrangement and finding aids | [] |
| iv) Access | [] |

46. Of the following categories of private archives, which do you consider to be neglected?

- a) Personal papers []
- b) Papers of families and estates []
- c) Literary manuscripts []
- d) Archives of liberation movements []
- e) Other, please specify

47. Is private archive administration included in training courses for archivists in your country? [] Yes No []

48. What suggestions would you make, if any, for the improvement of private archives administration in your country?

Thank you very much for your time.

In case of further information relating to the current study, please contact me at 202520139@ukzn.ac.za

Appendix 8: Questionnaire to gather information in national and private archival institutions about former national liberation movements records in east and southern Africa

The Archivist/Records Manager

Dear respondent

I am a student at the University of KwaZulu - Natal studying for a PhD in Information Studies. For my thesis, I am conducting a study entitled, **An investigation into the management of the records and archives of former liberation movements in east and southern Africa held by national and private archival institutions** under the co-supervision of Professor Christine Stilwell and Professor Patrick Ngulube.

The purpose of this study is to examine records and archives management practices by organizations managing records of former national liberation movements and propose a model for the efficient management of their information. The study will gather data on policies, storage and handling of records and archives, access, education and training of archivists/records managers, formats and condition of media on which records and archives are captured. Thus, I would gladly appreciate if you could spare a few minutes of your valuable time to answer as carefully and completely as possible all the questions in this questionnaire. Please, be rest assured that all your responses will be kept confidential and only used for the purpose of this research. Data will be presented only in aggregate; responses will not be attributed to particular respondents or organizations and data will be used for this study only. Please send the completed questionnaire to:

Francis Garaba
Information Studies Programme
School of Sociology and Social Studies
University of KwaZulu- Natal
Private Bag X01 Scottsville
Pietermaritzburg 3209
South Africa
Tel. 2733/2605007 Ext. 6237
Fax: 27332605092

If you have any questions regarding the survey, please contact me at 202520139@ukzn.ac.za or my supervisors at ngulup@unisa.ac.za or stilwell@ukzn.ac.za

Yours faithfully

Francis Garaba

Instructions for completing the questionnaire

- Please fill in the gaps (-----) where appropriate and give additional information if and when necessary, on a separate paper.
- Please tick appropriate bracket(s) [] that represent your choice(s) or answer(s) to each question.

I. BACKGROUND INFORMATION

1. Name of institution-----

2. Address-----

3. Telephone-----
4. Fax-----
5. E-mail address-----
6. Website address-----

II. NATIONAL LIBERATION MOVEMENT RECORDS IDENTIFICATION, CLASSIFICATION AND CATALOGUING

7. Volume of holdings pertaining to national liberation movement records (in linear metres) -----
8. Tick the type of national liberation movement records you have in custody
 - a) Paper []
 - b) Photographs []
 - c) Magnetic tapes []
 - d) Electronic records []
 - e) Video tapes []
 - f) Microforms (microfilm, microfiche etc) []
 - g) Maps []

- h) Audio tapes []
- i) Drawings []
- j) Slides []
- k) Other, please specify-----
-
-

9. What date ranges are covered by your records and archives relating to national liberation movements?

10. Do you reappraise national liberation movement records?

[] Yes No []

11. If you answered "Yes", in question 10 explain why you conduct this process

12. Classification involves placing records into logical groupings to facilitate retrieval. What types of classification do you employ for your records relating to liberation movements?

- a) function or activity, reflecting the work of the agency []
- b) hierarchical, reflecting administrative structures []
- c) keyword or theme, reflecting subjects or functions within a hierarchy []
- d) alphabetical []
- e) numerical []

13. Are liberation movement archives from the same source kept together in your institution or arranged with other papers of the same size, subject matter or language? **[] Yes No []**

14. Are liberation movement archives in your institution arranged and described?

a) By a qualified archivist? ☐ Yes ☐ No ☐

b) By another person? ☐ Yes ☐ No ☐

Please specify

15. Finding aids lead researchers to the information they are seeking from or about archives. What forms of finding aids to archives relating to liberation movement records are in use in your institution?

a) Inventory or summary list ☐

b) Descriptive list (when the unit is a file, bundle or volume) ☐

c) Catalogue, or item by item description ☐

d) Calendar ☐

e) Card catalogue ☐

f) Indexes ☐

g) Other forms? ☐

Please specify

h) Please give details of any published guide/s to archives of liberation movements in your institution including the year/s of publication

16. Does your institution maintain a register of accessions for archives of liberation movements? ☐ Yes ☐ No ☐

17. If "Yes" does it include the following:

a) Date of accession ☐ Yes ☐ No ☐

b) Whether gift, purchase, loan or transfer ☐ Yes ☐ No ☐

c) Provenance ☐ Yes ☐ No ☐

d) Restrictions on archives ☐ Yes ☐ No ☐

- | | |
|----------------------------------|---|
| e) Copyright position | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| f) Size of accession | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| g) Brief description of contents | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |
| h) Physical state of accession | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> |

III. MECHANISMS, POLICIES AND PROCEDURES FOR RECORDS AND ARCHIVES MANAGEMENT RELATING TO NATIONAL LIBERATION MOVEMENTS' RECORDS
--

18. Do you have a mission statement? ☐ Yes ☐ No ☐

19. If "Yes", what is the mission statement of your archives? (Please send a copy of the mission statement if possible)

20. Is the mission statement contained in any written document?

☐ Yes ☐ No ☐

21. If your answer to question 20 is "Yes", please state the name of the document.

22. Do you have a policy specifying the following:

a) the general policy position on records of liberation movements

☐ Yes ☐ No ☐

b) who is responsible for managing liberation movement records

☐ Yes ☐ No ☐

c) training and recruitment of qualified staff ☐ Yes ☐ No ☐

d) microfilm liberation movement records ☐ Yes ☐ No ☐

e) digitize liberation movement records ☐ Yes ☐ No ☐

23. If you answered "Yes", to 22 (a), does your national archives have policies that apply to liberation movement records specifically covering the following areas?

- a) acquisition ☐
- b) appraisal ☐
- c) description of archives ☐
- d) preservation ☐
- e) processing ☐
- f) custody and control ☐
- g) providing a reference service ☐
- h) storage ☐
- i) retention scheduling ☐
- j) other (Please specify)-----

24. If "No", what are you future plans?

25. Does your institution seek to obtain copies of archives relating to liberation movement records when the originals are unobtainable?

☐ Yes ☐ No ☐

26. If yes, what media is preferred for copies?

- a) Full-size copies ☐ Yes ☐ No ☐
- b) Roll microfilm ☐ Yes ☐ No ☐
- c) Microfiche ☐ Yes ☐ No ☐
- d) Digital records ☐ Yes ☐ No ☐

27. Does your institution allow access to unlisted or catalogued archives relating to liberation movements in its care? ☐ Yes ☐ No ☐

28. What restrictions are placed on access to archives relating to liberation movements at the request of the donor?

29. What restrictions are placed on access to archives relating to liberation movements by policy decision of your institution?

30. What is the policy of your institution with regard to requests from scholars, other institutions etc:

a) For copies from archives relating to liberation movements in your care?

b) Requests to publish extracts from archives relating to liberation movements in your care?

31. Is there a published guide to private archives in your country?

[] Yes No []

32. If "Yes", please give details

33. Does your office have guidelines for identifying requirements to make records of liberation movements accessible?

[] Yes No []

34. Are liberation movement archives currently open to use?

[] Yes No []

35. If "No", please explain

36. Are users made aware of their access rights and their responsibility to comply with the policies and regulations of your archival institution?

[] Yes No []

37. What are some of the obstacles you are faced with to the use of your liberation movement archives?

- a) Physically locating them []
- b) Lack of finding aids []
- c) Necessary equipment not available (microfilm readers for example) []
- e) Records have deteriorated beyond use []
- e) Processing backlog []
- f) Other, please specify

**IV. PHYSICAL SECURITY OF NATIONAL LIBERATION MOVEMENT
RECORDS WITH REGARD TO ENSURING THEIR LONG-TERM
PRESERVATION**

38. In the Table below indicate some of the characteristics of staff employed in the management of liberation movement archives within your organization.

Variable	Total
Number of staff at your institution	
Number with technical training	
Number with academic training	
Number with training in microfilming	
Number with training in digital preservation	
Other, please specify	

39. In the table below, rank your institution's expertise in dealing with the following: (0-none; 1-basic; 2-in-house training 3- advanced training; 4- work experience and graduate training)

Area of expertise	0	1	2	3	4
Audio materials					
Electronic records					
Disaster planning and recovery					
Holdings maintenance					
Environmental monitoring					
Preservation planning					
Microfilm					
Photographs					
Paper-based materials					

40. In which areas and at what levels does your staff have the greatest need for additional training? (Please circle all the applicable options)

	Advanced	Basic	Intermediate
a) Archival methods	a	b	c
b) Uses of computers in archives	a	b	c
c) Appraisal	a	b	c
d) Electronic records	a	b	c
e) Records management	a	b	c
f) Preservation/conservation methods	a	b	c
g) Disaster preparedness	a	b	c
h) Public relations/outreach	a	b	c
i) Others, please specify -----			

41. Do you feel your institution needs additional training with regard to the following?

- | | |
|-----------------------------|-----|
| a) Microfilming | [] |
| b) Environmental monitoring | [] |
| c) Preservation planning | [] |

- d) Disaster planning and recovery []
- e) Audio materials []
42. What type of equipment do you have in custody?
- a) Records and archives storage equipment (filing cabinets and shelving systems) []
- b) Conservation equipment (tools and presses) []
- c) Reprographic equipment (cameras and readers) []
- d) Office equipment (typewriters, copiers) []
- e) Information technology (hardware and software) []
- f) Other, please specify-----

43. If the answer is "Yes" to the above:
- a) Is the item of equipment suitable and appropriate for its intended purpose? []
- b) Are staff available who can be readily trained to use it? []
44. Do you restrict access if records are physically damaged? [] Yes No []
45. Is access to repositories open? [] Yes No []
46. Do visitors complete a visitors' register as a security measure? [] Yes No []
47. In the event that you offer duplication facilities, is the copying done by staff or researchers? Explain below-----

48. Are written regulations in existence to govern conduct of researchers?

[] Yes No []

49. Is a cloakroom provided to house visitors' personal belongings?

[] Yes No []

50. If the answer to 49 is "No", please explain-----

51. How frequent do you conduct a stocktaking exercise?

a) Once a year **[]**

b) Twice a year **[]**

c) Quarterly **[]**

d) Not at all **[]**

52. If you answered "Not at all" in question 51, explain how you check on missing and damaged items?

53. Do the following conditions apply to the storage of archives relating to liberation movements in your institution?

a) Are archives relating to liberation movements kept separately from other holdings in your institution? **[] Yes No []**

b) Does the area occupied by archives relating to liberation movements have continuous air-conditioning and humidity control? **[] Yes No []**

c) Are there windows in the storage area? **[] Yes No []**

d) If "Yes", are measures taken to prevent direct sunlight from entering through the windows? **[] Yes No []**

e) Are measures taken to keep storage area free from pests?

[] Yes No []

f) If "Yes", what methods are used?

g) Are precautions taken against fire? **[] Yes No []**

h) If "Yes", please specify

i) Are precautions taken against flood? **[] Yes No []**

j) If "Yes", please specify

k) Are precautions taken against theft? **[] Yes No []**

l) If "Yes", please specify

54. Estimate percentage of archival holdings with liberation movement records stored in:

a) Acid free folders or boxes -----

b) Non-archival containers -----

c) Wrapped bundles -----

d) Other (please specify)

55. Are archives of liberation movements in your institution stored?

a) On steel shelving **[] Yes No []**

b) In steel cabinets **[] Yes No []**

c) Other (please specify)

56. Do members of the public consult archives relating to liberation movements in a supervised reading room? **[] Yes No []**

57. If you answered "No" to question 56, please explain

58. Is restorative work carried out on archives relating to liberation movements in the care of your institution? **[] Yes No []**

59. If "Yes", which of the following are used?

a) Traditional technique **[]**

b) Lamination **[]**

c) Encapsulation **[]**

d) Other, please specify

<p>V. PRESERVATION NEEDS ASSESSMENT FOR RECORDS RELATING TO NATIONAL LIBERATION MOVEMENTS</p>
--

60. Which of the following preservation strategies do you employ?

a) Microfilming **[] Yes No []**

b) Digitization **[] Yes No []**

c) Lamination **[] Yes No []**

d) De-acidification **[] Yes No []**

e) Encapsulation **[] Yes No []**

f) Other, please specify.

61. Is staff carrying out preservation activities trained in preservation techniques? **[] Yes No []**

62. Does your institution have standards for archives relating to liberation movements in their management with regard to:

a) storage **[] Yes No []**

b) preservation **[] Yes No []**

c) access **[] Yes No []**

63. If your answer is "Yes", please list the standards you comply with as given below:

a) National -----

b) Regional -----

c) International -----

64. Type of building:

a) Is it purposely built? **[] Yes No []**

b) Was it adapted to use? **[] Yes No []**

c) When was it built?-----

d) Other, please specify-----

e) Has the building been ever renovated? **[] Yes No []**

f) How long have you occupied the building? -----

65. Is there a disaster preparedness and recovery plan for your institution?

[] Yes No []

66. If "Yes", choose the aspects that it covers from the list below.

- a) records ☐
- b) building ☐
- c) evacuation of people ☐

67. Which disasters are covered by the plan?

- a) Floods ☐
- b) Insects ☐
- c) Fire ☐
- d) Vandalism ☐
- e) Bomb threats ☐

f) Other, please specify-----

68. From the list below, what security systems are in place to safeguard liberation movement records?

- a) Security personnel ☐
- b) Electronic security systems ☐
- c) Cameras ☐
- d) Alarm system ☐
- e) CCTV ☐

69. Does your building have a heating, ventilation and air conditioning (HVAC) system? ☐ **Yes** ☐ **No**, please go to question 72.

70. If you have one, how old is the HVAC system?

- a) 1 to 3 years ☐
- b) 4 to 7years ☐
- c) 10 years and above ☐

71. How often is the HVAC system maintained?

- a) Annually ☐
- b) Twice a year ☐
- c) Once in two years ☐
- d) Never ☐

72. If you do not have a HVAC system, please state how the following conditions are achieved:

a) heating -----

b) ventilation -----

c) cooling-----

73. Are records available to prove that the HVAC system works?

[] Yes No []

74. Does your institution have a controlled RH of between 35% and 60% in areas where archives of liberation movements are stored? **[] Yes No []**

75. Which of the following instruments do you use for measuring relative humidity at your institution?

a) Data loggers **[]**

b) Hygrothermograph **[]**

c) Psychrometers **[]**

d) Humidity indicator strips **[]**

e) Hygrometer **[]**

f) Thermometer **[]**

76. How do you deal with pests? -----

77. How frequent do you conduct the extermination:

a) Once a year **[]**

b) Twice a year **[]**

c) Once in two years **[]**

d) Rarely **[]**

78. Who does the extermination? -----

79. What chemicals do you use?-----

80. Does your storage area for liberation movement records have a fire detection system?

[] Yes No []

81. What type of fire detection system is in place?

82. Does your institution have regular visits by the local fire department?

[] Yes No []

83. If "Yes", please choose the purpose of visit from the list below.

a) Inspections **[]**

b) Program on fire prevention **[]**

c) Staff training **[]**

d) Other, please specify

84. Are fire extinguishers available throughout the repository?

[] Yes No []

85. If 'Yes', state the type of fire extinguishers used

a) Multi-purpose **[]**

b) Electrical **[]**

c) Water **[]**

d) Carbon dioxide **[]**

86. How often are these replenished? -----

87. Has staff been trained to use fire extinguishers? **[] Yes No []**

88. If 'Yes', who conducts the training? -----

89. If "No", is there a sprinkler system or any other fire suppression system in the building? -----

90. If 'Yes', please choose the type you have from the list provided below.

a) Wet pipe **[]**

b) Dry pipe with delay mechanisms **[]**

c) Other, please specify-----

91. Has the fire sprinkler system been tested? **[] Yes No []**

92. If "Yes", please state when it was last tested

93. Who carries out conservation treatment?

a) Done in-house ☐

b) Done commercially ☐

c) Not done ☐

94. During the past year, have you undertaken any of the following preservation/conservation measures, either in-house or through an outside contractor?

a) Microfilming ☐

b) Document conservation/repair ☐

c) Disaster recovery ☐

d) Upgraded environmental controls ☐

e) Other, please specify -----

95. Does your institution have any of the following conservation facilities?

a) Vacuum fumigator or similar equipment ☐ Yes ☐ No ☐

b) Humidification chamber/equipment ☐ Yes ☐ No ☐

c) Specialized cleaning equipment ☐ Yes ☐ No ☐

d) Deacidification equipment ☐ Yes ☐ No ☐

e) Thermoplastic laminator ☐ Yes ☐ No ☐

f) Hand lamination equipment and supplies ☐ Yes ☐ No ☐

g) Encapsulation equipment and supplies ☐ Yes ☐ No ☐

h) Leaf-casting equipment ☐ Yes ☐ No ☐

i) Binding equipment ☐ Yes ☐ No ☐

j) Other, please specify

<p align="center">VI. INFORMATION COMMUNICATION TECHNOLOGIES AND DIGITIZATION PROCESSES TO ENHANCE PRESERVATION AND ACCESS TO THE RECORDS OF NATIONAL LIBERATION MOVEMENTS</p>

96. Does your institution currently have any written policies for managing digital records pertaining to liberation movements?

[] Yes No []

97. If "Yes", where are these located?

a) Website (give website details) -----

b) Publication -----

c) Other, please explain-----

98. If "Yes", does policy provide guidelines for:

a) acquiring materials in digital form **[]**

b) conversion of materials from print to digital form **[]**

c) refreshing **[]**

d) migration **[]**

99. Does your institution have any agreed standards or guidelines for the long-term preservation of digital records pertaining to liberation movements?

[] Yes No []

100. If "Yes", is there any documentation?

a) Website-----

b) Publication-----

c) Other, please explain-----

101. Are there any digital materials in your holdings pertaining to liberation movements for which you lack the technical capacity to read and access?

[] Yes No []

102. If "Yes", please give details -----

103. Do you refresh digital records pertaining to liberation movements?

[] Yes No []

104. If "Yes", how frequent -----

105. Do you migrate digital records pertaining to liberation movements?

[] Yes No []

106. If "Yes", how frequent -----

107. How would you rank the following factors as threats to the loss of digital materials at your institution?

a) Physical condition 1 = greatest threat, 2= moderate threat, 3 = smallest threat, 4 = no threat, 5 = undecided

b) Technological obsolescence 1 = greatest threat, 2= moderate threat, 3 = smallest threat, 4 = no threat, 5 = undecided

c) Insufficient policy 1 = greatest threat, 2= moderate threat, 3 = smallest threat, 4 = no threat, 5 = undecided

d) Lack of resources 1 = greatest threat, 2= moderate threat, 3 = smallest threat, 4 = no threat, 5 = undecided

e) Other, please specify -----

108. I am available to be contacted for further information to advance the purpose of this study and sharing the results thereof

Name ----- Title -----

Phone ----- E-mail-----

Thank you very much for your time.

Please return the completed questionnaire to Francis Garaba, University of Kwa-Zulu Natal, School of Sociology and Social Studies, Information Studies Department, Private Bag X01, Scottsville, 3209, Pietermaritzburg, South

Africa. Tel. 27332605095/2605007 Ext. 6237; Fax: 033 2605092. E-mail
202520139@ukzn.ac.za.

Appendix 9: List of respondents for the questionnaire and institutions visited for interviewing and observations

INSTITUTION	COUNTRY	VISITED	OBSERVATION	INTERVIEWS	QUESTIONNAIRE RETURNED	
					YES	NO
Alan Paton Centre	South Africa	√	√	√	√	
DISA	South Africa	√	√	√		-
Ghandi-Luthuli Documentation Centre	South Africa	-	-	-	√	
Lesotho Archives	Lesotho	-	-	-	√	
Malawi Archives	Malawi	-	-	-	√	
Mozambique Archives	Mozambique	-	-	-	√	
Namibia Archives	Namibia	√	√	√	√	
SOMAFCO	Tanzania	√	√	√	√	
Swaziland Archives	Swaziland	-	-	-	√	
Tanzania Archives	Tanzania	√	√	√	-	
Zambia Archives	Zambia	√	√	√	√	
ZANU PF Archives	Zimbabwe	√	√	√	√	
Zimbabwe Archives	Zimbabwe	√	√	√	√	
	Institutions that did not respond					
Angola Archives	Angola					
Botswana Archives	Botswana					
Kenya Archives	Kenya					
South Africa Archives	South Africa					
Zanzibar Archives	Zanzibar					
African National Congress Archives	South Africa					
Mafela Trust	Zimbabwe					
Nelson Mandela Foundation	South Africa					
University of Fort Hare	South Africa					
UWC – Robben Island Mayibuye Archives	South Africa					

