EVOLUTION OF RECORDS MANAGEMENT AND

ARCHIVE ADMINISTRATION IN

SWAZILAND

THESIS SUBMITTED

BY

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ABSTRACT OF THESIS

The aim of the thesis is to review record-keeping practices in the Ministries/Departments of the Government of Swaziland in order to determine how records are presently organised and how they could be better organised. The findings of the study should help to determine what changes are necessary and what improvements are needed to establish an effective and efficient records management programme for Swaziland.

As a background to the study, the thesis begins by looking at the development of record-keeping historically, culminating in the post World War II development of records management as a distinct area of management in the United States of America. It then discusses the evolution of administrative practices in Swaziland. It examines the administrative history of institutions which created the records, the records they created and how records are presently kept.

The main body of the thesis deals with the management of the total record cycle, i.e. active, semi-active and inactive records. One chapter deals with active records. It looks at the involvement of management in the keeping of records, the creation phase, maintenance and use and the protection of vital records. It assesses the state of

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current record-keeping in Swaziland and possible solutions. Another chapter deals with semi-active records. It examines the retention of records, appraisal of records, how a record centre works and the need to apply these concepts in Swaziland. The following chapter covers inactive records. It discusses the role of a National Archives, the archives building, the arrangement and description of archives, staff and budgeting, and the existing archival legislation. It reviews possible solutions to the problems of administering archives in Swaziland.

The study concludes that there is a need for new legislation, for registry manuals, and for a records centre. Training for registry staff, records managers and archivists is also essential. All this can only be achieved through the creation of an integrated programme for managing records in all phases of their life cycle and through involving management in the design and implementation of this programme.

ACKNOWLEDGEMENT

DEDICATION

TO

PHINDILE, NOMCEBO, NTOKOZO, VUSI AND FANI

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CHAPTER ONE

INTRODUCTION

1.1   THE OBJECTIVES OF THE STUDY

The aim of the thesis is to review record-keeping practices in the ministries/departments of the government of Swaziland and in the National Archives in order to determine how records are kept, how they are presently organised and how they could be better organised. The findings of the study should help to determine what changes are necessary and improvements needed to establish and implement an effective and efficient records management programme for Swaziland.

A record survey was carried in Swaziland as part of the research toward this thesis. Several observations were made. On the whole, it was observed that there is no proper control of creation and duplication of records; as a result unneeded records are produced at an alarming rate. Such practices have serious repercussions. For instance, vital documents are often mismanaged and cannot be easily retrieved for decision making by administrators; as such sometimes a wrong decision is taken. There are no retention and disposal schedules in place. The ministries tend to keep the valuable material together with the ephemeral. Hence all available storage space is filled to

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its full capacity. These and other factors result in vital
records not being protected. Moreover the management finds
it difficult to select and train personnel to handle
records at various stages of the total record cycle.

The primary objectives of the study are as follows:

(a)   To study the existing systems of managing
      records in Swaziland Government ministries/
      departments and the National Archives,
      analyse the problems and evaluate
      different approaches in managing the
      total record cycle.

(b)   To survey the records and information
      procedures and to determine how records are
      presently organised and how they could be
      better organised.

(C)   To evaluate devices for easier retrieval of
      information in the records through the
      provision of adequate ~~of~~ storage and filing
      facilities.

(d)   To study the staffing position of the record
      services and the problems they encounter

(e) To examine the factors involved in
     establishing, developing, maintaining
     and administering a records management
     service for the ministries/departments.

(f) To examine the Archives Act with a view to
     determining whether it provides the legal
     basis for the introduction of an effective
     programme to manage the creation, maintenance,
     use and proper preservation of records.

(g) To identify the benefits of a records
     management concepts to the Government

As background to pursuing these objectives, I have
investigated the history of record-keeping and the
evolution of administrative and record-keeping practices in
Swaziland.

1.2   METHODOLOGY OF THE STUDY

1.2.1   Sources of Information

The findings described in this study are based on library
and field research carried by the author in the U.K. and in
Swaziland. The survey involved several ministries in
Swaziland: Agriculture, Finance, Labour and Civil Service,
Justice, Tinkhundla (Local Administration) and Natural

Resources and Energy. Several research methods were used
of which the following were the most important:

1.2.2   Questionnaire

Several questionnaires were designed and distributed to
officers of different ranks in the ministries.   The
questionnaires are included in Appendix A.   A few were
completed and returned but many were only acknowledged.
The questionnaires tried as far as possible to cover the
operations of government at all levels in order to give a
clear picture as to how the records are handled, processed,
and stored and what difficulties are experienced in
managing the total record cycle. The surveys were aimed at
the following level of staff:

> (a)   Operators: registry staff, including
>   Junior Clerical Officers, Clerical
>   Officers and Senior Clerical Officers/
>   Registry Supervisors.

> (b)   Support staff who handle classified
>   information: Personal and Senior
>   Personnel Secretaries.

> (c)   Junior management: Executive Officers,
>   Administrative Officers and other

officers of similar ranks.

(d)   Middle management: Higher/Senior
       Executive Officers, Personnel Officers
       and other action officers of similar
       ranks.

(e)   Senior management: The Permanent
       Secretaries, Deputy Permanent
       Secretaries etc.

1.2.3   Direct Interview

Discussions were held with government officials concerning
the management of records in Swaziland. These discussions
reflected what was actually happening to records in the
ministries/ departments and in the National Archives. The
author had an opportunity of working hand in hand with the
officials of the Ministry of Labour and Civil Service in
solving some of the teething problems concerning records
management and giving technical advice. This ministry is
responsible for looking into the terms and conditions of
service in the civil service.   It is the successor of the
Colonial Secretariat which will be discussed later. The
discussion resulted in the examination of the records in
the records centre   with a view to appraising them and
drawing up retention and disposal schedules. A list of
ephemeral records was handed to the Permanent Secretary,

Ministry of Labour and Public Service for consideration by his minister who is also responsible for the clerical cadre. The minister stated in no uncertain terms that no action could be taken unless the legislation for managing the records is in place. The matter was left in abeyance.

1.2.4   Physical Survey

I visited the registries of the ministries mentioned above to see how files were being handled and stored. I examined the storage facilities and office equipment and observed people in their place of employment asking and answering questions, finding information and making decisions. The situation was almost the same in all the ministries with a few exceptions. Therefore, the ministries/departments will be discussed in general terms.

1.3   THE IMPORTANCE OF RECORDS TO GOVERNMENT

1.3.1   The Uses of Records

The importance of records to government cannot be over-emphasized. The government regulates the lives of its citizens and uses its enormous powers to enforce its will upon them. In turn, the citizens rely on government for protection and they expect it to fulfil certain rights and obligations. The government cannot function properly

without vital information which the records contain. It would be disastrous to conduct the affairs of the state orally. This would lead to many obligations being not fulfilled and rights being protected.

Governments therefore spend a large percentage of their resources on records creation, record-keeping and personnel. The value of these records can be viewed from the prospective national development and history. Some of their more specific uses are enumerated below:

(a) Government depends on administrative continuity from the records. Government requires recorded information to be used in all phases of planning, organization, controlling and communicating. This enables administrators to perform their duties effectively and intelligently.

(b) Records enable government to make decisions on various activities in the course of carrying out its duties. Accurate and concise records properly and securely maintained and kept provide a record of precedent.

(c) Records protect the rights of citizens e.g. land rights, legal cases, payments and pensions.

(d) Records are a cultural heritage for the nation. They are the foundation of societies through which different cultures are passed from generation to

generation. Therefore, modern societies depend on the written word to ensure that their experiences were remembered and a precise account of the past is preserved.

(e) Government, therefore, uses records to arouse nationalistic feelings and patriotic sentiments; for instance when boundary disputes are at stake.

(f) Archival records contain information about the activities of an organisation, the performance of its officials and their accountability. Therefore records are the sources of research in many fields such as agriculture, education, social welfare, manpower development, genealogy, history etc.

1.3.2   The Low Priority Accorded to Records

The problems associated with records management exist in all countries both developed and developing. Developing countries in particular have multiple problems in managing their records due to their limited resources. However, there are also a number of other reasons why records are not well managed in developing countries, as follows:

(a)   The main reason is the lack of awareness by government and the public at large of the need to manage records as a resource and the methods available for doing

so.

(b)   Economic development always has priority over
cultural concerns in the allocation of available resources.
Because government does not yet recognise the role of
records in economic development it does not tend to
allocate the necessary resources.

(c)   Developing countries find it difficult to
establish and maintain records management programmes due to
the lack of funding and trained staff.

(d)   There are few trained personnel in the field of
records and information management and hence nobody to
persuade government to pay more attention to record-
keeping.

1.4   WHAT IS RECORDS MANAGEMENT?

As the core of the study is the management of the record
cycle, it would be appropriate at this stage to define what
records management means. Many books have been written on
the subject by scholars and practitioners. Definitions of
records management can be found in books, journals,
periodicals, papers, theses etc. In all cases, the message
is clearly conveyed in broad terms, that is, records
management is about fewer and better records which should
be created, maintained and used, and either disposed of

properly when no longer needed or preserved in the archives. I prefer an operational definition of records management as against the abstract one. Therefore,

> Records management has been defined as the economic and efficient management of all an organization's recorded information from its creation, through its use and storage, to its archiving or legal destruction. In simple terms, it is nothing more than good housekeeping. It ensures that all records whether on paper, microfilm, disk, tapes etc. are created effectively, reports make sense, correspondence is in the correct format, forms are easily understood.[1]

By its nature, this definition leads us to the life cycle concept of records management. This can be easily understood by likening it to a living organism. The theory is that recorded information has a "life" which is similar to that of a biological organism, in the same way that it is born (creation phase); it lives (maintenance phase); and it dies (disposition phase). In each phase there are various management inputs associated with it and functional activities performed. Under creation there are the following elements: forms, reports, directives and correspondence. Under maintenance and use there are such elements as files, mail handling, active storage and security. During the disposition phase there are elements such as scheduling, appraisal, storage in records

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[1] A Review of Records Management and Archives in West Africa. London: School of Library, Archive and Information Studies, University College London, 1988. p.1.

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centres, and archives and disposal.[2] The life cycle concept of records management will be divided into three distinct stages: active records, semi-active records and inactive records.

Records management includes the following: the identification and collection of information; the protection of vital records for on-going operation of an organization in case of disaster and provision for efficient use of personnel, space and equipment and compliance with administrative, fiscal, historical and statutory record-keeping requirements.[3]

1.5   BENEFITS OF RECORDS MANAGEMENT TO SWAZILAND

Swaziland has no records management programme in place. Each ministry/department creates and manages its own records. The only organization in the country responsible for the care and custody and preservation of records is the Swaziland National Archives. This organization is concerned with semi-active and inactive records and operates a records centre and an archive repository, both in the same building. There *is* no legislation regarding the creation, use and maintenance of

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[2] Records Management: Handbook. Anne Morddell [et.al]. London: Gower, 1989. p.9.

[3] Managing Archives and Archival Institutions. Ed. by J.G. Bradsher. London: Mansell Publishing, 1988. p.36.

records in the ministries. Therefore, ministries continue
to create unnecessary records and to preserve records
beyond the time when they are of use. These records are
ultimately transferred to the National Archives. Possibly
up to ninety percent of the material already transferred to
the archives is worthless. The Archives Act does not
provide guidance on selection and disposal and no
regulations have been issued on these subjects. Hence the
archives staff keep everything and experience acute
shortage of storage space.

The introduction of records management will benefit
Swaziland in several ways:

(a) Records management can control the creation of
records thereby preventing unnecessary records and
duplication.

(b) Administrators and managers can have complete
and up-to-date information to enable them to support their
decisions.

(c) The government is protected from charges of
misplacing records to conceal information.

(d) The vital records necessary for the continued
operation of an organization can be identified and
protected.

(e)   Records managers can help evaluate new media, equipment and systems, and introduce procedures which can facilitate the creation of concise and accurate records and information.

(f)   Expenditure on filing equipment can be reduced.

(g)   Schedules for disposing of records and information that are no longer needed can be developed and maintained.

(h)   Efficient systems for storing and retrieving records and information for reference purposes can be developed and maintained.

(i)   Records and information can be provided at the lowest possible cost.

1.6   CONTENTS OF THE THESIS

Chapter Two looks into the development of record-keeping in general.   It begins with the definition of records and discusses how written records evolved.   The writing media are briefly explained such as clay tablets, papyrus, wood and wax, parchment, paper and information technology. The chapter further discusses how archives   evolved concentrating on the successive historical periods. Finally it discusses how records management evolved. Its growth in

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the United States of America is studied in some depth as it was here that records management really developed as a distinct management area.

Chapter Three is about the evolution of administration practices in Swaziland. It examines the administrative history of institutions which created the records, the records they created and finally how the records are presently kept.

Chapter Four covers active records. It looks at involvement of management in the keeping of records, the creation phase, maintenance and use, the protection of vital records and it assesses the state of current record-keeping systems in Swaziland.

Chapter Five covers semi-active records. It discusses the appraisal of records, the records centre concept, reasons for establishing a records centre, requirements for a records centre building. It reviews the situation in Swaziland and evaluates possible solutions to problems.

Chapter Six discusses the role of a National Archives and evaluates the physical requirements for a National Archives such as equipment and furniture, as well as the need for policies on accessioning, arrangement and classification, description, staffing and budgeting, archival legislation. It evaluates the situation in Swaziland and examines possible

solutions to problems.

Chapter Seven is the conclusion. The chapter reviews the problems encountered in each phase of the record cycle in Swaziland and the need for an integrated approach to their solution. It concludes that a Royal Commission is required to examine the issues raised in the thesis and make specific recommendations to the Government of Swaziland. As this will take some time to arrange, it recognises the need for a short term action programme aimed at clearing the backlog of ephemeral *material* from the ministries and the records centre/Archives as a first step to a new records policy for Swaziland.

CHAPTER TWO

THE DEVELOPMENT OF RECORD-KEEPING

2.1   WHAT ARE RECORDS?

Today there are many more records than could have been immagined years ago. Every office or establishment of any sort produces and keeps all types of records. Individuals too keep and carry records with them every day of their lives, for instance identity cards, cheque books, passports and tickets.

Exactly what is a record? A record can be defined as any form of recorded information. A further question may be asked for the sake of clarity. What is information? Information may be defined as data processed into a form which is meaningful to the person who receives or perceives it and can be used for decision making or other actions. More often than not, data and information have been erroneously considered synonymous. Data are regarded as uprocessed groups or symbols that provide raw material for information.

No matter how big or small an organization may be, it cannot function properly or satistifactorily without valuable information for decision making. The information becomes useless to an organization if it cannot be

accessed. Therefore the information must be managed and be usable. Nowadays it has been observed that every organization including government recognises information as an important resource equal to other resources controlled by management such as finance, equipment, manpower etc. How do the records, therefore, fit in the picture?

> The answer is quite simple-records are recorded information. Indeed, a record may be defined as any information captured in reproducible form that is required for conducting business.[1]

The records, therefore, become the memory of the organization that received or created them in the course of business. As such, they require special treatment and management. For instance,

> It is not sufficient to manage records like other forms of information because they are distinct categories of information and must be treated accordingly.[2]

This point can be best illustrated by the difference between library materials and records. For instance, records must be managed by the organization which creates them. Whereas books and other library material were not specially created for the library which acquires them nor were they created by the library. The library only maintains and disposes of the information when no longer

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[1] Records Management; Manual. Op.cit. p.3.

[2] Ibid.

needed. Therefore library material is not regarded as unique as it is produced in numbers and may be found in many places.

Many writers, scholars and researchers have endeavoured to define or tell us what records are. Susan Diamond says "a record is any form of recorded information."[3] She says the information may be recorded on paper, film, microfilm or any magnetic medium such as computer tapes or disks. Unrecorded instructions or conversations are not records. In government, records are recognised as any type of recorded information that government officials create or receive in the course of their official duties. Therefore records are defined as,

> All communications received in an organization or issued by it as well as reports and returns, notes, memoranda, maps, plans, drawings, photographs, films, and sound recordings of any kind, or any other written or graphic material containing information used in transacting the business of an office.[4]

Messrs. S. Muller, J. A. Feith and R. Fruin define records as

> The whole of written documents (records), drawings and printed matter, officially received or produced by an administrative body or one of its officials, in so far as these documents were

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[3] Diamond, S.Z. Records Management; a Practical Guide. New York: AMACOM, 1983. p.1.

[4] The Manual of Instructions for Management and Disposal of Records in the Ministries/Departments and Other Offices of the Republic of Kenya. Nairobi: Kenya National Archives, 1981. p.2.

intended to remain in the custody of that body or
that official.[5]

Although this definition was written many years ago it
still explains in a nutshell what records are.

This discussion brings us to the concept of records
management which is the subject of this study. The study
will examine the management of the total record cycle i.e.
from "birth" through active and productive life to their
"death" or destruction when no longer needed or their
permanent preservation for prosperity.

A records manager should be charged with responsibility for
the overall records management programme. He is
responsible for ensuring that unnecessary records are not
created, necessary records are maintained and used in an
effective manner and records that have served their purpose
are properly disposed of. Archivists are responsible for
taking care of records in the later phase of the record
cycle. They are responsible for ensuring the safe custody
of records under their care and secondly for making them
available for consultation by the public. This involves
the sorting, classification, listing and indexing of the
records.

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[5] Muller, S., Feith, J.A., and Fruin, R. Manual for the
Arrangement and Description of Archives. New York: H.W.
Wilson, 1987. p.1.

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Before going more deeply into the subject of records
management and its application to records in Swaziland, let
us look further at the history of record keeping as a basis
for examining the management of modern records. We shall
first examine how writing material evolved through writing
media. The writing media will include the following: clay
tablets, papyrus, wood and wax, parchment, paper and
electronic media. Only events which are related to records
creation, maintenance and use, storage and preservation
will be highlighted.

2.2   HOW DID WRITING MATERIAL EVOLVE?

Knowledge has been an important commodity for human
development through ages. Its usefulness can be shortlived
without proper means of communication. Knowledge therefore
was passed to the next generation for new discoveries by
means of writing. Codified sets of signs and symbols were
used to express ideas, thoughts or sounds. All this had to
be written down on some kind of material capable of
preserving the information. This section will examine how
some of writing material evolved.

Clay Tablets

Clay tablets were first used in Mesopotamia in about 3500
B.C. but their use spread to most of early civilised world,
and continued over a period of about 3,000 years. The

extent of the clay tablet region was immense. It embraced
the lands btween the Euphrates and Tigris rivers and nearby
territories, such as Elam and Urartur, to Hittite Empire,
Phoenicia, and the Aegean cultures.[6] An outline map of the
early Near East appears as Appendix B.

The development of clay tablets as writing media in these
regions was made possible by the good loam soil which was
found in large quanties. Tablets of soft clay were written
on both sides by a scribe with a stylus. The less
important tablets were left to dry in the desert sun. If
the tablets were sufficiently important, they were baked in
a kiln.[7]

Papyrus

Papyrus was found in river deltas, especially along the
Nile River in Egypt. The plant grew in the shallow waters
of the river. Papyrus was the material commonly used for
public and private purposes. It was made by placing slices
of the stem of papyrus side by side on a plank or table and
then superimposing on this layer another consisting of
slices running at right angle of the first layer. The two
layers were welded together by pressing and beating. Thus
the tissue was allowed to dry under pressure. The surface

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[6] The British Library: Oriental Writing Materials: The
British Library Exhibition Notes. London: The British Library,
1977. p.1.

[7] Ibid.,p.1.

was polished with rounded object until it became smooth.[8]

Wood and Wax

Wood was used in Western Europe where forests existed in abundance. The Romans invented the method of using wood covered with a layer of wax to write on. A piece of wood or ivory was used as a pencil to write with. One end was sharp to write with and the other end was blunt for erasure. These wax tablets did not last long as they were easily erased.[9]

Leather

Animal skins were used as writing material. The earliest surviving documents occurred in ancient Egypt about 2500 B.C. by the process of tanning; the skins were made into a fine writing media. It was possible to write on one side only. Therefore, the material was often used in scroll format. The Hebrews used scrolls of the skins to write their laws and today every synagogue has still its Torah scroll of leather. The Christian documents preserved in the deserts of Egypt and Palestine are of leather as well

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[8] Posner, E. Archives in the Ancient World. Cambridge: Harvard University Press, 1972. pp.71-72.

[9] National Diploma in Archival Science; Handbook. Pretoria: Government Archives Service, 1987. p.2.2

as the Dead Sea Scrolls.[10]

Parchment

It was soon discovered that wood, leather and papyrus had limitations as writing materials. There was a need to improve the existing media. Perchment was therefore developed in Asia Minor about (197-158) B.C. The credit for the invention of parchment goes to Eumenes II of Pargamum. It was from its name Pargamum that parchment is so called. An animal skin was treated in lime and the wool and fat were removed by a sharp knife. The skin was stretched on both sides and treated with hot water and then dried. When the skin was further stretched it became thinner and finer. Although fragments of parchment survive from the second century B.C., it was not until the first half of the 4th century A.D. that it came to be used for the best books.[11]

Paper

Paper was in use in China by 105 A.D. Its manufacture remained a guarded secret for a number of centuries. It was a convenient replacement for the expensive silk and cumbersome bamboo books. The Chinese made paper from

[10] The British Library: Oriental Writing Materials. Op.cit. p.2.

[11] Ibid.,p.2.

cotton. The wool of the cotton plant was crushed to a fine substance and processed into pulp from which paper was made. In the colder regions of Europe, paper was manufactured from old rags, usually of linen, originally from the flax plant.

In 751 A.D. the Muslim Governor of Samarkand attacked China and took about 20,000 Chinese prisoners, some of them trained in the art of manufacturing paper. One version of the story is that the prisoners set up paper making shops of their own free will. The other version states that the prisoners betrayed their secret under torture. From Samarkand the knowledge of paper making spread to the Middle East by the 9th century and was introduced to Spain in the 12th century by the Arabs. Rags remained the most important ingredient until the 19th century when wood became a substitute.[12] Appendix C. represents the spread of paper.

New Media

Industrial development in European countries has resulted in the manufacture of typewriters, photocopiers, fax machines, etc. This in turn led to the development of new media. Various new types of records such as photographs, microfilms, magnetic tapes or disks, cassettes and videos, were created. The advent of electronic or machine readable

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[12] Ibid.,p.3.

records has created new technical difficulties in terms of storage and access, difficulties which are only just beginning to be addressed. Yet despite the new technology, it is unlikely that paper will be replaced by electronic records in the foreseeable future. In fact, with the advent of computers the quantity of paper documents generated has increased.

2.3   HOW DID ARCHIVES EVOLVE?

2.3.1   Trends in Archival Development

The history of the preservation of recorded material should be studied against the background of the ancient world, Western Europe and United State of America. Many highly organised societies kept their records well and efficiently. But how did archives evolve? The answer is not hard to be found. The Sumerians had the desire to keep track of their economic and commercial life. This desire led to the development of writing in order to keep their records. Therefore, the earliest records developed in the Middle East in the 4th millenium B.C. Cuneiform writing, i.e. wedge-shaped characters, were inscribed on clay tablets.

> As writing spread through Near East in the following millennia, Mesopotamia and other societies made provision for keeping records in their temples and in the courts of local rulers. Priests and kings created and maintained records

> of property, offerings, taxes, and exhanges.
> Temple priests kept records on the decisions of
> the gods, merchants retained financial
> accountings of their businesses, and individuals
> kept family records frequently for genealogical
> purposes."[13]

In order to give a clear overview of the development of archival institutions, and how they kept their records, the discussion will cover distinct periods. Historical events will not be discussed here but only the trends in archival development during five periods: Antiquity, the Dark Ages, the Renaissance, the Reformation and Counter-Reformation and the Modern Period.

2.3.2.   Antiquity

The Mesopotamians, Egyptians, Persians, Greeks and Romans all contributed immensely towards record-keeping in the ancient world.

Mesopotamia

Various repositories can be traced in the ancient world, especially in the valley of Mesopotamia which forms part of the present day Iraq, Syria and Turkey. In the 1850s the library of Ashurbanipal dating from the 7th century B.C. was discovered. It is considered the oldest organised collection of records. On the evidence based on the

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[13] _Managing Archives and Archival Institutions._ Op.cit. p. 19.

tablets found in this library and the tablets unearthed by many later excavators known in southern Mesopotamia, it was assumed that the archives were at least 2,000 years old. It could, however, be assumed that both Sumerian tablets dating about the 1st quarter of the 3rd millennium B.C. to about 2,300 B.C. and copies made more than 1,000 years later by Akkadian, Babylonian, and Assyrian Scribes before and until the time of Ashurbanipal must have been kept in orderly manner to make them retrievable. Such archival storage was regarded as speculation.[14]

The truth came to emerge as a result of excavations by a team of Italian archaeologists at Tell Mardikh in northern Syriak, the site of ancient city-state of Ebla. The excavation took place in 1964 and is still continuing. The result of the excavations updated our knowledge of the ancient library. The discovery became a sensational event second in importance to the discovery of the Dead Sea Scrolls. The excavators discovered in 1974 a number of clay tablets in cuneiform script, followed by the discovery of a vast archives of thousands of clay tablets dating from about 2,600 to 2,300 B.C. The discovery of tablets at Ebla aroused world-wide interest for the following reasons: first, the number of tablets and fragments discovered was large and many of the documents were perfectly preserved and intact. Second, the tablets were written in an unknown

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[14] Wellish, H.H. Ebla; the World's Oldest Library. _Journal of Library History._ Vol.16., No.3, 1981. p.488.

Semitic language similar to Hebrew. Third, many names of persons and places in the Bible seemed to appear in the texts found at Ebla. Fourth, the archives constituted an orderly collection of records at least 500 years older that any other find anywhere else. [15]

The storage of the archives of Ebla adjacent to an audience hall indicates the tablets were for business conducted by the state. The smaller storage room found in north of the audience hall contained more than 1,000 tablets which dealt with the economic affairs. These tablets are written in the cuneiform scripts originally invented by Sumerians sometime in late 4th millennium B.C. and which remained in the Middle East for at least more than 3,000 years.[16]

The development of trained manpower training was recognised as important. An officer was appointed as a custodian of archives. The arrangement and description of clay tablets became complex; therefore the officer charged with archives required academic training which was conducted in schools for scribes. The trainee spent a number of years in school in order to master cuneiform writing which was very difficult indeed. The trainee took additional subjects in astronomy, mathematics, medicine, accountancy, several languages and underwent an apprenticeship for a considerable period. He was therefore known and referred to

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[15] Ibid.,p.489

[16] Ibid.,p.491

as man of "written tablets" and "custodian of the tablets" or simply " Master of the tablets".[17] Today he would probably have the title "Litt.D." or "Ph.D." after his name.

Egypt

The Egyptians also used clay tablets to a lesser extent. They developed their own writing medium, papyrus, which was grown in the Nile River. Whilst the Egyptians were under the Greeks and Romans at different periods of their history, they adopted the methods of record-keeping of their rulers. However, the Egyptians continued to use the archival tradition inherited from ancient Egypt and the Persian Empire. The centralised government established under the Pharaohs was preserved and provision was made to access the documents. As a result, a centralised archives was established in Alexandria, the capital and regional state archives were set up. This was to ensure that the wealth of the state was properly administered. Provincial repositories sent copies of the government's diaries to the central archives.[18]

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[17] National Diploma in Archival Science. Op.cit. p.2.6.

[18] Managing Archives and Archival Institutions. Op.cit. p.21.

Persia

The Persians founded and developed their empire under the leadership of King Cyrus the Great. The King had his archives in Babylonia, Ecbatana, Susa and Persepolis. The records were inscribed on clay tablets, leather and papyrus. They consisted of royal decrees and register rolls.[19] One of the register rolls is mentioned in the book of Ezra in the Bible. Of interest perhaps to Christians, the records contained the permission given to the Jews to rebuild their temple in Jerusalem. The rebuilding of the temple was deferred until the reign of King Darius. The records also contained a list of exiles who returned from captivity. Of great importance was the inventory of precious items such as gold dishes, silver pans etc.

Greece

The Greeks built their civilization from their predecessors. During the 2nd millennium B.C. there existed the important centres on Greek peninsula. These were Mycenae and Pylos which were related to the Minoan civilization and shared with it the art of writing and use of clay tablets. However in about 1200 B.c. this civilization was destroyed by the barbarian tribes together with its ancient centre situated on Crete. This was followed by the period of

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[19] Ibid.,p.19.

decline in which the art of writing was forgotten.
Nonetheless, the Greek tribes from north west penetrated
the peninsula. The former inhabitants of the peninsular
emigrated to the Aegean Islands and costal regions of Asia
Minor. [20]

Approximately more than 1,000 clay tablets were stored in
the admininstrative and record-keeping facilities in King
Nestor's Palace on the Acropolis of Pylos. The Greeks
first used clay tablets, then papyrus, leather and wooden
tablets. During the Golden Age of Greece, the archives
service was well organised and maintained. All written
material in Greece was transferred to a repository known as
the Metroon.[21]

Rome

The Romans are said to have laid the foundation of modern
archives administration as they placed much importance on
the preservation of written material. For fear of forgery,
the Plebieans pressurised the Senate in about 449 B.C. to
preserve all the Senate resolutions. These were preserved
in the Temple of Ceres and later in the Treasury Aerium.
The Treasury was located in the Temple of Saturn where the
resolutions were stored in boxes. Subsquently they were
moved and stored in the cellar of the same building. In 83

[20] Posner, E. Archives in the Ancient World. Op.cit. p.91.

[21] Ibid.,p.42.

B.C. the temple of Saturn was destroyed and the resolutions were moved and stored in the _Tabularium_ which was a fire proof building.

During the reign of Emperor Marcus Aurelius private citizens used the archives for research purposes. This was an innovation as this privilege was denied in the past. The correspondence of the office was divided into two sections: one dealt with Latin and the other with Greek. During the 3rd century, the chancellery was charged with important correspondence including legislation, petitions from Roman subjects to the Emperor and documents concerning the officials and privileges granted to them.

In the years that followed, many of the large collections of the classical world were destroyed by fire, natural disasters, wars, and internal conflicts. After the fall of the Roman Empire in 476 A.D., chaos reigned in Europe.[22]

2.3.3   The Dark Ages

From the end of the 5th century A.D., as a result of the conditions that existed in Europe, few records were created because people could not read and write. It was common that business transactions were conducted by word of mouth. Attention to preserving archives gradually dwindled. These records were entrusted to the church. The Catholic church

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[22] _National Diploma in Archival Science._ Op.cit. p.2.10.

took the lead. The right of the church to preserve documents was embodied in the Justinian law of 538 century A.D. The central archives of the church were housed in the Papal Chancellery and are intact. Parchment copies of documents were made, and from 1198 onwards the rolls are complete and can be found in the Vatican City.[23]

2.3.4   The Middle Ages

In the middle of the 12th century, there appeared signs of cultural revival, especially in Germany. During the late eleventh and early twelfth centuries, there was a growth of European governments and an increase in trade and commerce. The monarchies were solidified and administrative records increased. Princes and feudal lords retained their birth, death, marriages and tax records while business and banking transactions were recorded. By the end of the Middle Ages, monarchies had fixed and permanent residences which resulted in an increased consolidation of official archives. Church and state both took special care of their records, often to prove their titles to property. Some of these documents stil survive. On the eve of the Renaissance, archival records began to be viewed as state property, not as the possession of a individual ruler. This brought greater assurance that a king's archival

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[23] Ibid.,p.2.12.

records would be passed on to his successors.[24]

2.3.5　　The Renaissance

During the Renaissance, the German rulers began to change their traditional way of life of conducting the affairs of the state orally and to rely on the written word. Written laws which had disappeard came back into use. Laws were codified, all decisions recorded, unwritten court evidence was not accepted and the church remained the keeper of the documents. The archives were housed in special buildings with thick walls, small windows and heavy doors.[25]

There was also archival development in other European countries. In 1310, Henry VII of the Holy Roman Empire took his records to Italy for his coronation. He eventually died in Italy and the archives have since remained there. Other heads of state did not use the services of the church and continued to keep their own archives.

During this period recorded material was lost during wars. For instance, Philip II of France lost his records to Richard I in war. As a result Philip II erected the Tresor des Chartes in Paris to protect his documents containing grants

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[24] <u>Managing Archives and Archival Institutions.</u> Op.cit. p.22.

[25] <u>National Diploma in Archival Science.</u> Op.cit. p.2.14.

of rights and privileges.

England began to house its Exchequer rolls in the Tower of London in the thirteenth century. The King of England sent a collection of papal privileges to the Tower for safe-keeping in 1305 A.D. By 1320 the records of the Treasury and the Exchanquer were also sent to the Tower. Virtually all of Britain's Chancery records were housed in the Tower by the 15th century.[26] The activities of the civil administration and Royal chancelleries expanded considerably from the 14th century onwards. New services were established and the new series of documents were created. Words like minutes, receipts, land registeries etc. appeared during this period. The volume of documents increased as a result of the activities of both private and public sectors. The growth of records presented the chancelleries with housing problems. The existing chancelleries were no longer able to house the documents; hence large cities started to create archives rooms for storage of non-current documents. The custody and control of the archives were thus entrusted to the local librarians.[27]

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[26] Ibid.,p.2.16.

[27] Ibid.,p.2.17.

2.3.6   The Reformation and Counter-Reformation

With the Renaissaince there was an acceleration of learning
and a growing interest in studying the past. Archival
materials were viewed as the source of history. Moreover,
the invention of the printing press and the growth of
governments resulted in more records being created. The
monarchs in Western Europe could no longer personally
maintain their records in castles or churches. They
regarded their archives as the symbol of power and prestige
and realised that the archives needed special treatment and
should be stored in special buildings. For example,
Charles I of Spain transferred the Royal Archives of
Castile to the castle of Simancas in 1524 This repository
became the first well defined distinct European archives
facility when it was in full operation in 1543. Francis II
of France appointed a trusted aide to organise the royal
archives. The Swedish Chancery Archives was established in
1618 and the archives were housed in the Riksarkish. The
Danish Archives were established in 1665 and moved to their
present building in 1720.   Francis Bacon attempted to
create an English national archives in 1593 but was
unsuccessful.[28]

The Reformation and Counter-Reformation provided the church
with a stimulus to collect and maintain documents. These

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[28] <u>Managing Archives and Archival Institutions.</u> Op.cit. p.
23-24.

records were used to demonstrate the validity of the church hierarchy and to document the role of the Catholic Church. The Vatican Secret Archives were formally established in 1612 with an appointment of an archivist and the documents were stored in a special building which housed records of the Pontiff and his Curia. In England the Parliamentarians and Royalists used historical records to justify their political claims. In Western Europe scholars began consulting legal archives to develop laws. Further, archives were used to legitimize governments and provided the continuity to govern the acquired territories. At times peace treaties provided for the transfer of records belonging to the conquered territory. These archives were used to claim title to property.

In the 18th century, modern states began to emerge which would eventually become the present government of Western Europe. As they established and expanded their adminstrative machinery, they accumulated a large volume of records. A number of European governments began to centralise and consolidate their records and to erect special buildings. This was done, at least in part, to demonstrate the importance of their countries and their histories.[29]

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[29] National Diploma in Archival Science. Op.cit. p.2.19-2.20.

2.3.7 Modern Period

French Revolution

The French Revolution brought with it changes in the administration of archives. At first the revolutionary leaders were against the documents of the old order as relics of loathsome feudalism. They plundered and destroyed the documents on a large scale. However, they soon realised the importance of the documents of the ancien regime as historical evidence. Thereafter they refrained from destroying the records. The advent of the French Revolution resulted in the establishment of the principles for the administration of archives in Western Europe. The following precedents were set:

(a)   In 1789 the French National Assembly established the French "Archives Nationales" as a central archives service for the state i.e. the involvement of management. This was the first time a state had accepted responsibility for the preservation of official archives and confirmed this by legislation.

(b)   For the first time a comprehensive archives administration was created for the country as a whole. It was a diversion from the old concept in Europe where archives were traditionally preserved by the office of origin.

(c)   The single archives administration included all the existing repositories containing current and closed archives.

(d)   Public access to government records was allowed and the archives were legally opened to all citizens for the first time.[30]

2.4   HOW DID RECORDS MANAGEMENT EVOLVE?

As has been shown, records have been managed for many centuries. However, records management as we now know it is a fairly new discipline which first developed in the United States. After the Second World War it spread to other countries of the world. The discussion of how records management evolved will be restricted to events in America. Americans have studied the subject in depth, built the foundations and exported the concept of records management to the world over.

Records management practices grew out of the desire of American administrators and managers to have accurate information available to them in appropiate format, at the right time, at the lowest cost possible.

At the beginning of this century business firms in the U.S.A. recognised the importance of their records in terms

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[30] Ibid.,p.2.20-2.21.

of money and time. This led to the evolution of the new

profession of records manager. In the mid-1930s

organizations became concerned with what papers should be

thrown out. Many papers no longer needed were kept in

storage areas and warehouses. The government and private

companies began to establish timetables for storing and

systematically disposing of records as space and personnel

for handling them became costly.

During the Second World War there was an ever increasing

activity within government administration which brought

with them paper problems in industry and government

agencies. There was a need for personnel capable of

analyzing, developing, promoting, and cordinating records

management. From the time that computers began to enable

automated storage, processing and retrieval of information,

The use of computers became part of office training and

therefore of concern to record managers.[31] Very few

records management programmes existed prior to the mid-

1950s. They began to develop from the 1950s onwards. The

National Archives of the United State played a key role in

their development.

The United States National Archives was established in

1934. The government carried out its first federal records

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[31] Establishing a records Management Programme and
Effective Approaches for Preserving and Selling Records
Management.; Annual. Ed. by M. Langems. Cincinnati: ARMA,
1983. p.2.

survey between 1935 and 1937. The survey showed that no effort had been made to eliminate unneeded records, duplication of records or the filing of worthless papers. During the Second World War more papers were produced and there was a need to do something to control the situation. Consequently the National Archives developed its first "records disposal schedule" which became law when the Records Act of 1943 was promulgated.[32]

In in 1947 the Commission on Organization of the Executive Branch of the Government was established. Former President Herbert Hoover was elected chairman and the group became known as the Hoover Commission. The purpose of the Commission was to study and investigate the organization and operation of all departments, bureaus, agencies and the offices of the executive branch. The study would enable the Commission to determine what changes, if any, were necessary to increse efficiency, economy and service.[33]

The Hoover Commission, working with the National Records Management Council, established a "Task Force on Records Management." This Task Force studied records management problems in the federal government. On the basis of the study, the Commission developed three general recommendations. Firstly a Records Management Bureau should be establised in the Office of the General Services.

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[32] Ibid.

[33] Ibid.,p.6.

It was suggested that the bureau encompass the National
Archives, establish and operate records centres and develop
government wide records management policies and
improvements. Secondly, it was proposed that a federal
records act be encouraged including provisions pertaining
to effective creation, preservation, management, and
disposal of federal records. Thirdly, it was suggested
that records management programmes be encouraged in each
agency and department of the federal government.[34]

As a result of these recommendations, the U.S. Congress
passed the Federal Property and Administrative Services Act
of 1949 which established the General Services
Administration (GSA). The National Archives was
transferred to the GSA. The Administrator of the GSA was
authorised to promote and improve records practices
throughout the federal agencies. The Federal Records Act
of 1950 clarified the records management powers granted to
the Administrator of the General Services in the Federal
Property and Administrative Services Act. It defined
records management in broad terms including managing the
total records cycle as opposed to ealier legislation which
had concentrated on the disposition phase. The General
Services Administration was authorised to develop and
operate records centres.

A further development was the establishment of Records
Management Division within the National Archives and

[34] Ibid.,p.7.

Records Service in 1949. It was followed by the establishment of a Records Management Service in each of the ten GSA regions throughout the United States.[35]

A second Hoover Commission was established in 1953. In 1954, the work by Hoover Commission led to the establishment of a second "Task Force on Paper Management" headed by Emmett J. Leahy. This Task Force investigated methods for increasing and cutting costs in correspondence, forms, reports and directives. As a result of this investigation, a government-wide paperwork management programme was initiated under the responsibility of the General Services Administration. Moreover, each governmental agency appointed one of its officials to co-ordinate the efficient management of correspondence, forms, reports and directives with the records management programmes of the General Services Administration. This recommendation resulted in the creation of posts for records managers at high management levels with responsibility for increasing efficiency and cutting costs in the management of records and information. [36]

In 1956, the Office of Records Management was established within the National Archives and Records Service (NARA). The internal administration of NARA has since gone through many changes, but NARA continues to assist Fedaral

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[35] Ibid.,p.7.

[36] Ibid.,p.8.

Government agencies in managing their records. This
function now falls under NARA's Office of Records
Administration. This office determines the appropriate
records, regardless of format. Another division of NARA,
the office of Federal Records Centres is responsible for
providing economical storage and reference services on
archives and semi-active Federal records in 14 records
centres throughout the United States.[37]

It is appropiate to end this chapter with a note on the
Association of Records Managers and Administrators, which
has done so much to promote records management as a
profession. ARMA was organised in 1956 as the American
Records Management Association for the advancement of
records and information management. In 1975, the
association merged with the Association of Records
Executive and Adminstrators (AREA) to form the Association
of Records Managers and Adminstrators (ARMA). The
objectives of ARMA are as follows:

> (1) to promote a scientific interest in records
> management, (2) to enlarge the views and scope of
> those interested in records management, (3) to
> provide a source of records management
> information and experience, and (4) to develop
> and promote standards for those engaged in
> records management field"[38]

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[37] The National Archives and Records Administration;
Annual Report for the Year Ended 30 September 1988.
Washington, D.C.: The National Archives, 1988. pp.15-22.

[38] Establishing a Records Mangement Programme. Op.cit.
p.9.

ARMA continues to investigate records management problems and to promote solutions. Its journal, <u>ARMA Quarterly</u>, and the other literature it publishes helps to encourage development internationally.

CHAPTER THREE

EVOLUTION OF THE ADMINISTRATIVE SYSTEM IN
SWAZILAND AND ARRANGEMENTS FOR KEEPING RECORDS

3.1   BACKGROUND INFORMATION

3.1.1   Geography

Swaziland is so small that it only appears as a dot on some maps of the world and is given a number with a footnote. Swaziland has an area of 6,704 sq. miles. It lies between the 26th and 27th parallels in South-Eastern Africa. It is bounded to the north, west and south by the Transvaal Province of the Republic of South Africa and to the east by the Natal Province and the Republic of Mozambique. It is compact in shape. Its maximum length from the north to south is about 120 miles and its maximum width from East to West is about 90 miles. From the approximate geometrical centre of the territory, Johannesburg is 250 miles away, Durban 350 miles, Cape Town 960 miles and Maputo 130 miles.[1]

Swaziland has a good climate, with fertile soil, and plenty of rainfall and good mineral resources. The only handicap is that it has no direct access to the sea. Geographically

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[1] Swaziland: Report for the year 1957. London: HMSO, 1959. p.55.

Swaziland is divided into four distinct regions extending from north to south known as Highveld, Middleveld and Lowveld, which are of almost equal size, and Lubombo Plateau, which is the smallest region.

3.1.2   Population/Language

According to the 1986 census a population of some 681,059 people was estimated. The annual growth rate is around 3.3%[2] The population of the country is said to be homogenous as the majority share a common language, tradition and history. The official languages are Siswati and English. The former forms part of the Bantu language grouping spoken by the Nguni people. The latter is used as the administrative language.

3.1.3   Government and Administration

Swaziland attained political independence from Britain on 6 September 1968. The independence constitution sought to maintain a non-racial state and to secure freedom, justice and inviolability of property. The Ngwenyama, the King, is the head of the state. The Swazi National Council, which consists of the Ngwenyama, the Queen Mother (Indlovukati) and all adult Swazi males who wish to attend, advises the King in all matters pertaining to the Swazi law and customs

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[2] Development Plan 1989/90-1991/92. Mbabane, Department of Economic Planning and Statistics, 1989. p.26.

connected with Swazi tradition and culture. Parliament
consists of two chambers, namely, the House of Assembly and
the Senate.[3] The Prime Minister is the head of the Cabinet,
which is appointed by the King.

3.1.4   Economy

The economy of Swaziland has three structural features. It
is said to be an open economy because it is dominated by
trade. It specialises in agriculture and forestry. It is
a market economy because Government's role in any form of
production is limited. The mining of minerals such as
asbestos, coal and diamond and the trade in agricultural
and forestry products are the major activities and
generators of economic wealth. These activities are
undertaken by private individuals and companies.[4]

3.1.5   Summary of Administrative Developments During
the Colonial Period

The Swazis came into personal contact with Europeans from
about the 1850s and Europeans were involved in the
administration of Swaziland indirectly or directly from the
1880s. The study examines the stages of administrative

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[3] Post Independence Development Plan. Mbabane: Swaziland
Gowernment, 1969. p.15.

[4] 4th National Development Plan 1983/84-1987/88.
Government of the Kingdom of Swaziland, 1983. p.46.

development. The aim will be to understand how the administration evolved as the basis for understanding the records it created. This is the knowledge the archivist requires to arrange and describe archives and make them available to the public. This analysis will be divided under two broad headings, namely, Swaziland under joint British and South African Republic of the Transvaal Administration and Swaziland under British direct administration.

Swaziland became a protectorate in 1907 and was governed by a Resident Commissioner in Cape Town. The British meddled as little as possible in Swaziland's internal tribal administration. The administration of the Swazis was left to the Paramount Chief, tribal chiefs, headmen (tindvuna) and runners (bagijimi). As a result, the position of the Paramount Chief remained intact. The tribal link was not weakened and the Swazi administrative structure was preserved.

The British attitude towards traditional Swazi authorities led to a system of parallel control in which the British were concerned with general administration and the maintenance of law and order. This form of dualistic administration policy continued until the late 1950s when the Swazi were encouraged to participate in the European

administration.[5]   It still continues today in that a traditional system of Swazi authority continues to operate along side the administrative machinary established by the British.

At this juncture, let us examine why Britain pursued the policy decribed above. Before the 1950s Britain held the view that Swaziland would be incorporated into the Union of South Africa. Hence Britain did not follow the general policy pursued in other colonial territories which was aimed at eventually giving them self-government. In the 1950s and 1960s, Britain's colonial policy resulted in the granting of self-government to her colonies. At this time, the question of Swaziland being incorporated into the Union was halted by the South African policy of separate development. The South African government desired to give its Bantu territories self-government.   Consequently, Britain dropped the question of incorporation altogether.

Eventually Britain brought its policy towards Swaziland into line with that for its other African territories. Swaziland saw the post of Resident Commissioner being replaced by Her Majesty's Commissioner in October 1963. The new post carried the same status as that of a governor.[6] In 1964 Swaziland got its legislative council,

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[5] Van Wyk, A.J. <u>Swaziland: a Political Study.</u> Proteria: African Institute of South Africa, 1969. p.1.

[6] Ibid.,p.14.

barely four years before it attained independence.

3.2 SWAZILAND UNDER JOINT BRITISH AND SOUTH AFRICAN REPUBLIC ADMINISTRATION

3.2.1 Early Contacts with the Boers and the British

The administrative history of Swaziland must be understood together with that of South Africa especially the Transvaal Province. South Africa's history is well documented and is not covered in detail here but examined only as it relates to the events which led to the conclusion of various conventions which altered the Swazi Territory and the Swazi way of life. Its aim is not to describe historical events in detail, but to document the forms of administration imposed by the two European Governments.

The Europeans came to Swaziland during the reign of Mswati II (1840-1868) who is said to be the last independent ruler of the Swazis. These were independent farmers who came to seek grazing rights for their herds of cattle and sheep or simply as traders. The Europeans were either of English or Dutch origin. Mswati was aware of the animosity existing between these two groups. He therefore assumed the attitude of neutrality in dealing with them. The Great Trek, the movement of the Boers from the Cape Colony to the North, had led to the establishment of independent Boer states in the Orange Free State and the Transvaal in 1833.

The British took over Natal in 1843. The independence of the Orange Free State was recognised in 1854. The South African Republic of the Transvaal was established in 1860.[7] In the discussion that follows, references to the Transvaal prior to the Anglo-Boer War are references to the South African Republic of the Transvaal.

Mswati had a cordial relationship with the Europeans. He regarded them as allies against the invasion of the Zulus. In order to strengthen the friendship, he sold a large area of land to the Boers in the Transvaal. In 1864 Mswati assisted the Transvaal Government in suppressing some of the tribes who rejected the Boer authority. Boers were present when Mbandzeni, son of Mswati, was installed in 1875. It is said that they were instrumental in suppressing an uprising by a faction which supported other sons of Mswati.[8]

3.2.2   The Early Years of Mbandzeni's Reign

The Boers were more than prepared to do everything in their power to have a strong foothold in Swaziland. The pressing issue was access to the sea, and there was a plan to build an independent railway line leading to an independent

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[7] Lord Hailey. <u>Native Administration in the British African Territories; the High Commission Territories; Basutoland, the Bachuanaland and Swaziland.</u> London: HMSO, 1953. p.360.

[8] Ibid.,p.361.

habour in Kosi Bay. Swaziland was the key to fulfilling this aspiration. Apart from the desire to have an access to the sea, the Transvaal had experienced internal anarchy during the early years of Mbandzeni's rule. The Boers had financial troubles and were unable to subdue Chief Sikukuni who led several tribes on the eastern frontiers. Sir Theophilus Shepstone, the British Agent in Natal Colony for Native Affairs, used this as justification to annex the Transvaal on behalf of the British Government in 1877. However, the British Government did not want to assume responsibility for the affairs of Swaziland as it was already at war with the Zulus at Sandlana in 1879. Although the Swazis helped the British against Chief Sikukuni in 1879, the Britain remained committed to making Swaziland a British protected state rather than a colony.[9]

3.2.3   The Conventions of 1881 and 1884

The annexation of the Transvaal by Sir Theophilus Sheptone in 1877 was rescinded by the Pretoria Convention of 1881. This convention included a clause providing the recognition of the independence of the Swazis. The London Convention of 1884 also respected Swazi independence. The 1884 Convention defined the boundaries between Swaziland and the Transvaal. At this time, a large fertile area of Swaziland became part of the Transvaal. The convention referred to the considerable Swazi population living outside Swaziland.

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[9] Ibid.,p.361.

The contracting parties agreed to recognise the independence of Swaziland within the boundaries laid down in the conventions. The convention did not prevent the Boers or other Europeans from acquiring further concessions of any kind.[10]

3.2.4   The Granting of Concessions

In 1880s Mbandzeni granted Europeans land, mineral and other concessions throughout the country. These generous grants of concessions made the country ungovernable as the Europeans fought among themselves. Chaos was the order of the day. In this atmosphere, the immigrants began to disregard the authority of the chiefs. This disturbed the relations between the Swazi people and the traditional native authority. The disrespect accorded to the elders of the nation was seen by the Swazi people as tantamount to sowing bad seeds among the population. Further the Boers made it clear that the guarantees of independence contained in the conventions of Swaziland were no more than words.

In 1880 Mbandzeni protested to the Governor of Natal that the Boers from Pretoria had sent messengers to press him to sign an agreement recognising a Boer Government in the Transvaal and repudiating the British. This protest was in a form of a request for British protection. Nothing came

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[10] Swaziland: Report for the Year 1961. London: HMSO, 1963. pp.96-97.

out of this request. Mbandzeni then turned to Sir Theophilus Shepstone and reminded him of the help Swazis gave to the British against Chief Sikukuni during the reign of Mswati. He obtained the services of Shepstone's son, Theophilus Shepstone Junior, as Advisor and Agent to assist the Swazis in dealing with the Europeans.[11]

3.2.5   The Charter of Rights for Europeans

The appointment of Shepstone's son as Advisor and Agent was a private affair. The British Government had no hand in this; consequently Shepstone was always out of favour with one or another section of Europeans. The majority of the Boers were farmers and the English were predominately concerned with mining and trade interests. Mbandzeni was aware of the antagonism and constant friction between the Boers and the English. As a result he gave a "Charter of Rights" to a Committee of Concessionaires with five additional nominated members, but he reserved the right to veto any of the Committee's decisions. The main purpose of the Committee was to settle disputes between concessionaires. The rift was wide and this made the work of the Committee ineffective. The Swazis dissolved the committee in 1889 immediately after the death of Mbandzeni.

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[11] Swaziland: Report for the Year 1964. London: HMSO, 1966. p.111.

3.2.6 British vs Boer Interests and the Convention of 1890

After the death of Mbandzeni, control of the Swazi nation was entrusted to his widow, Gwamile Mdluli, as Queen Regent until her son Bhunu came of age. Some of the Boer settlers then approached the Transvaal Government to take control of Swaziland. The Transvaal Government approached the British to modify the terms and conditions of the 1881 and 1884 Conventions. The British agreed to a Joint Commission of which Sir Francis de Winton represented British interests and General Jourbert those of the Boers. Sir Winton was in favour of the Transvaal having control over Swaziland. The various Chambers of Commerce in England and some British companies approached the British Parliament and asked it not to accept the control of Swaziland by the Transvaal. The British Government informed the Transvaal that it wanted a form of dual control.[12]

A convention signed between Britain and the Transvaal in July 1890 established a provincial government with representatives of the two governments and of the Swazi monarchy. The convention stated that no inroad would be allowed on Swazi independence. A Government Secretary was to be appointed and a high court created, the laws regarding disputed concessions were to be reviewed. A

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[12] Swaziland: Report for the Year 1961. Op.cit. p.97-98.

Provincial Committee was to adjudicate in any matter in which the Swazis were concerned and the Transvaal was to withdraw its claim to the north and north west, Boer and British interests were defined.[13]

3.2.7   The Convention of 1894

In 1894 Britain and the Transvaal signed another convention. This marked an end to the period of dual control and Swaziland now came under the control of the Transval. The formal guarantee of Swazi independence which had been recognised by the Conventions of 1881 and 1884 and 1890 was abandoned. Under the terms of this convention the swazis were to be allowed to manage their affairs in accordance with Swazi law and customs but the Transvaal would reserve the right to legislate, judicate and administer Swaziland and its citizens.[14] During the period of Transvaal administration of Swaziland, which lasted until the outbreak of the Anglo-Boer War in 1899, Britain maintained a consulate at Bremersdorp (now Manzini), the then capital town of Swaziland to look after British interests.[15]

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[13] Ibid.,p.98.

[14] Lord Hailey. <u>Native Administration in the British African Territories.</u> Op.cit. pp.361-362.

[15] Ibid.,p.368.

3.2.8   The Anglo-Boer War (1899-1902)

When the Anglo-Boer War broke out, the Boers formally handed over all authority to the Paramount Chief Bhunu, and Swazi authorities were advised by the British to remain neutral.   Bhunu shortly afterward died in 1899 and the Swazi Council agreed to the choice of his minor son Sobhuza to succeed him.   The Regent continued to manage the affairs of the country with the assistance of the younger son of Mbandzeni Malunge.[16]

3.3   SWAZILAND UNDER DIRECT BRITISH RULE

3.3.1   Order-in-Council of 1903

The Anglo-Boer War ended in 1902 with the creation of the South African Republic.   The Transvaal became a British Colony and the Governor of the Transvaal administered Swaziland as a district of the Transvaal under the terms of the Foreign Jurisdiction Act of 1890.   By virtue of this act, an Order-in-Council was decreed on 28 June 1903 which constituted the basis for the British adminstration of Swaziland.[17]

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[16] Ibid.,p.369.

[17] Van Wyk, J.A. Swaziland: a Political Study. Op.cit. p.6-7.

A temporary Special Commissioner with a small force was sent to Swaziland and a provisional administration was established which also guaranteed the separate independence of the Swazis. The Governor was also empowered to make arrangements to appoint a Resident Commissioner and other officials to take over the administration of Swaziland.[18]

3.3.2   Administrative Proclamations of 1904 and 1906

The governor of the Transvaal was convinced that Swaziland would be better administered if it became part of the Transvaal Colony. By virtue of the powers vested upon him by Order-in-Council of 1903 he issued an Adminstrative Proclamation of 1904 which clarified Swaziland's status further. It made laws of the Transvaal applicable to Swaziland, establishd a court system to deal with criminal cases and provided for the right of appeal to the Supreme Court of the Transvaal. Chiefs were confirmed in their civil jurisdiction over the Swazis.

In 1906 when the Transvaal Colony was granted a form of self-government, the powers of the Governor in respect of Swaziland were transferred to the High Comissioner for South Africa who was at that time the Governor of Cape Colony. The transfer of Swaziland to the High Commissioner

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[18] Lord Hailey. <u>Native Administration in the British African Territories.</u> Op.cit. p.370.

was made in terms of an Order in Council of 1906.[19]
Swaziland now became a British Protectorate.

3.3.3   Proclamation no.4 of 1907

In 1907 the High Commissioner issued a Proclamation under
which a Resident Commissioner, Assistant Commissioner and
Government Secretary were appointed in Swaziland and a
Police Force was established. The High Commissioner was
vested with legislative and executive powers and was
empowered to govern Swaziland by proclamation. However,
the British Government retained the right to veto any
proclamation partially or in toto. A Special Court with
the full jurisdiction of a Superior Court was established,
as were the magistrate courts of the District
Commissioners.[20]

3.3.4   The Changing Nature of the Post of High
Commissioner in the Twentieth Century

When the Union of South Africa came into being in 1910, the
Governor-General of South Africa was appointed. The
Governor-General also became the High Commissioner for the
three British Territories of Basutoland, Bechuanaland
Protectorate and Swaziland. The two posts were later

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[19] Ibid.,pp.371-372.

[20] Van Wyk, A.J. Swaziland: a Political Study. Op.cit.
p.6.

separated when Britain granted the Union of South Africa greater internal powers in 1931. The three protectorates then were placed under the administration of the High Commissioner of the United Kingdom for South Africa who was based in Cape Town.[21] In 1935 his title was changed to His Majesty's High Commissioner for Basutoland, the Bechuanaland Protectorate and Swaziland. The High Commissioner's post was abandoned in 1946.[22]

3.3.5   District Administration

For the purpose of effective administration Swaziland was divided into districts which were administered by District Commissioners. The District Commissioners were chief executive officers of the Government within their districts and were directly responsible to the Resident Commissioner at the Secretariat in Mbabane for the efficient administration of the districts. The District Commissioners were stationed in four districts, Manzini, Mbabane, Hlatikulu and Stegi. The two smaller districts of Pigg's Peak and Mankaina were administered by District Officers. The District Commissioners carried out a wide rage of functions in their districts, one of which was to

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[21] Negotiations Regarding the Transfer to the Union of South Africa of the Government of Basutoland, the Bechuanaland Protectorate and Swaziland, 1910-1939. Pretoria: The Government Printer, 1953. p.7.

[22] Stevens, R.P. Lesotho, Botswana and Swaziland: the Former High Commission Territories in South Africa. London: Pall Mall Press, 1967. pp.2-9.

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coordinate developmental work. They were assisted by District Teams which were established under their chairmanship. The District Teams consisted of heads of technical services in the districts such as medical service, education, land development and reprentatives of the Swazis etc. They considered local problems and formulated plans for development in accordance with the policy decisions transmitted through the Secretariat from the Resident Commissioner.[23]

3.3.6   The European Advisory Council

Although there was no legislative council, a European Advisory Council was established in 1921 to advise the government on European Affairs. This body consisted of 10 elected members representing the electoral divisions of the territory. Every European who was a British subject, aged 21 years upwards and had lived in Swaziland for five years was entitled to be registered as a voter. The Resident Commissioner was chairman of the Council. Six official members also attended the meeting in an advisory capacity and had no voting power. The Council appointed a Standing Committee which consisted of the Resident Commissioner, Deputy Resident Commissioner and not more than five elected members. The Council could refer to this Committee any matter for examination and recommendation to the Resident Commissioner. The Resident Commissioner could also refer

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[23] Swaziland: Report for the Year 1961. Op.cit. p.102.

any matter to the Committee when the Council was not in
session. In 1959 the Council began discussions on
constitutional reform.[24] The Standing Committee provided
an important point of contact between Government and
European Community.

3.3.7 The Swazi Traditional System of Administration

The Swazis continued to manage their own affairs with
minimum interference from the European administration.
However, the relationship between the European and Swazi
administrative systems began to change following a visit by
the secretary of state for the Dominions, Leo Amery, in
1927. Amery appointed Sir Alan Pim to look into the
financial and economic position of the territory. Sir Alan
criticised the British policy towards Swaziland. He wrote
in his report that the administrators concentrated on
collecting taxes and maintaining law and order. They spent
too much of their time in magistrate courts or working on
matters pertaining to Europeans only. There was no thought
for the future of the local population. Sir Alan
recommended that an Advisory Council similar to that of the
European Advisory Council be formed without undermining the
position of the Parmount Chief who acted as a link between
government and the Swazis. Secondly, he recommended that
opportunities be given to Swazis for participating in the
administration. These recommenations resulted in a

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[24] Ibid.,p.103.

fundamental change of the British attitude towards the Swazis.[25]

In compliance with Pim's recommendations, the administration began to do more to involve the Swazis in the process of governing. In 1944 the High Commissioner issued a proclamation recognising the Paramount Chief as Native Authority for the territory. The Paramount Chief was vested with powers to issue legally enforceable laws to his subjects. This proclamation received no support from the Paramount Chief as it did not comply with Swazi law and custom. Consequently it was left to rest and gathered dust.

The administration issued another Proclamation in 1950 which was more or less in line with Swazi law and practices. Under Proclamation no.80 of 1950 the jurisdiction of the Paramount Chief and other chiefs was extended by establishing Native Courts with both civil and criminal jurisdiction over Africans. Under Proclamation no.81 of 1950 the Swazi National Treasury was established as a further development of the National Administration. The Paramount Chief, Indlovukati (Queen Mother), Chiefs and National Administrative Officers were paid from the Swazi National Treasury. The situation remains unchanged today. The revenue was derived from a proportion of Swazi tax and

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[25] Swaziland: Report for the Year 1962. London: HMSO, 1963. p.117-118.

Swazi courts fines and fees.[26]

Close contact was maintained with the colonial administration by a Standing Committee which was appointed by Ngwenyama (Paramount Chief) in Libandla (council). The Committee met government representatives weekly to discuss government and private business. The Standing Committee consisted of a Chairman, the Secretary to the Swazi Nation and six members who represented the six districts. Whenever the committee met it appointed a chairman who chaired the meeting and the secretary who took the minutes. Both the chairman and secretary to the Swazi Nation were appointed by the King together with the six members who represented each district. These people were all paid from the Swazi National Treasury.

District Committees or Tinkhundla were appointed to deal with local questions and disputes. Each Nkhundla consisted of chiefs grouped together on geographical basis under an appointed chairman. The Paramount Chief made known his orders and instructions through the Tinkhundla system. The Tinkhundla provided an important point of contact between the Government and the Swazi and was of great value in improving rural development.[27]

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[26] Swaziland: Report for the Year 1966. London: HMSO, 1968. p.130.

[27] Swaziland: Report for the Year 1963. London: HMSO, 1964.

3.3.8   The Road to Independence

Under the Swaziland Order-in-Council 1963 the constitution
of Swaziland was established. It provided for an Executive
Council and a Legislative Council. The new post of Her
Majesty's Commissioner for Swaziland was created with equal
status to that *of* the governor. It replaced the post of
Resident Commissioner. Her Majesty's Commissioner was
empowered to legislate and was directly responsible to the
Secretary of State for Colonial Affairs. The Government
Secretary became the Chief Secretary and also Her Majesty's
Deputy Commissioner. The Assistant Attorney-General became
Attorney General. There were now four districts instead of
six: Shiselweni   (formerly   Hlatikulu),   Manzini
(incorporating Mankaina), Lubombo (formerly Stegi) and
Hhohho (formerly Pigg's Peak and incorporating Mbabane).[28]

The Executive Council, which came into existence in 1964,
consisted of the following portfolios: Chief Secretary,
Attorney General, Secretary for Finance and Development,
Secretary for External Affairs and Labour, and members for
Education, Health, Natural Resources, Rural Affairs and
Works Power and Communications. The Secretary for Local
Administration assumed responsibility for Local Government
as well as for District Administration. In this period the
Town Managment Board Proclamation and Valuation of

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[28] Lord Hailey. <u>Native Administration in the British
African Territories.</u> Op.cit. pp.417-418.

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Immovable Property Proclamation were promulgated and later followed by the establishment of a Town Management Board. In 1964 Mbabane and Manzini were declared Board Areas each with 12 members appointed by Her Majesty's Commissioner. In Hlatikulu, Pigg's Peak, Stegi and Goedgegun Advisory Committees were established. The duty of the Committee was to advise the D.C.'s who were local authorities of the areas.[29]

3.4   INDEPENDENCE

Swaziland attained political independence on the 6th September 1968. Parliament consisted of two houses. The House of Assembly is made up of thirty four members of which twenty four are elected and ten are nominated by the King. Ten members of the Senate are elected by the House of Assembly and six members are elected by the King. The Prime Minister is the head of government and he presides over the cabinet which is responsible to the House of Assembly. At the time of independence Cabinet consisted of the Prime Minister, the Deputy Prime Minister and seven ministers. Initially the Prime Minister and his deputy had their own portfolios. There were nine ministries altogether. Later the portfolio of Deputy Prime Minister was abolished. New ministries were created and the existing ones changed names and departments were shifted

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[29] Swaziland: Report for the Year 1963. Op.cit. pp.116-117.

from one ministry to another. These changes were not always logical. To many they marked the end of the old system.[30]

After independence, the national government of the Swazi Nation continued to operate side by side with the system of elective government. The Swazi National Council advises the Ngwenyama on all matters regulated by Swazi Law and Custom and connected with Swazi traditions and culture. It has long been felt that both administrations in Swaziland should be brought together. As a result the Tinkhundla (Local Administration) was established to act as a co-ordinating agency. The Swazi administration falls under the Tinkhundla. It, however, took over some of the functions of the Ministry of Interior and Immigration such as responsibility for district administration and Town Councils. It is not clear why this responsibility for the Town Councils should have been taken over. It would be more logical for the Tinkhundla to be concerned with rural affairs only. This has led to the constant friction between town planners and the Tinkhundla. For instance, the Tinkhundla is both selling land in urban areas and trying to distribute land in the rural areas for settlements and developmental projects. It is hoped that as the Tinkhundla developed the gap between the two administrations will be bridged and narrowed.

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[30] Swaziland: Report for the Year 1964. Op.cit. pp.123-124.

3.5   RECORDS OF THE COLONIAL PERIOD

3.5.1   Records created in the Transvaal

The government of the Transvaal took a close interest in
Swaziland from the time it was established in 1860. The
Transvaal administered Swaziland directly between 1894 and
1899. The records of this period, which are held in the
Transvaal Archives in Pretoria, are in Dutch, except during
the brief period when Britain annexed the Transvaal between
1877 to 1881. A sizable quantity of these records were
copied by a South African scholar, bound in volumes and
indexed. These copies were donated to the Swaziland
Archives where they may be consulted.

During the Anglo-Boer War, 1899 to 1902, the administration
of Swaziland by Europeans was suspended, but from 1903 to
1906 Swaziland was again administered from the Tramsvaal.
This time the Transvaal was under British administration,
and the Governor of the Transvaal appointed a Resident
Commissioner in Swaziland. The records of the Transvaal
Government of this period are also in Pretoria.

When the control of Swaziland's administration was passed
to the High Commissioner for South Africa (the Governor of
the Cape Colony) in 1907, the office of the Surveyor
General and the Deeds office remained in the Transvaal.
After independence, when the relevant sections of these

offices were moved to Swaziland, the older records relating
to Swaziland remained in the Transvaal, and these records
are also part of the Transvaal Archives.

3.5.2   Records of the High Commissioner

The office of the High Commissioner for South Africa was
created in 1847 for the settling and adjustment of affairs
of the territories in Southern Africa adjacent or
contiguous to the eatern and north-eastern frontiers of the
Cape Colony.   From 1846 until 1910 the post of High
Commissioner for South Africa was held by the Governor of
Cape Colony, who was based in Cape Town.   During this
period the High Commissioner was indirectly involved in
Swaziland's affairs, but after 1907 he took over direct
responsibility through a Resident High Commissioner based
in Swaziland.   The High Commissioner corresponded with the
Resident High Commissioner about Swaziland and he reported
to and received instructions from London (the Colonial
Office to 1925 and from 1926 the Dominions Office) about
Swaziland.   After 1910 when the Governor-General of South
Africa took over as High Commissioner, he travelled around
South Africa in the course of his work and sometimes
communicated with the Resident Commissioner in Swaziland
while he was visiting Johannesberg, Pretoria, or other
areas of South Africa.   He also delegated powers to
officials in these places, and received letters from them

concerning Swaziland.[31]

The High Commissioner's archive, covering the period 1843 to 1960 was transferred to the Public Record Office in London where it now forms the record class DO 119.

The correspondence for the High Commissioner to the Colonial and Dominions Offices and copies of their replies can be found in several classes of original correspondence in the Public Record Office: CO 417 South Africa Original Correspondence, 1884-1925; DO 9 Dominions Office Original Correspondence, 1926-1929; DO 35 Dominions Office Original Corresponce, 1930-1960.

3.5.3 Records Created by the Swazi Administration

The Swazi administration produced its own records throughout the colonial period. Traditionally Swazi administrators did not keep written records, but gradually during the colonial period more and more records were created. Large quantities of court records were generated, the monarch and his staff generated records and after its creation in the 1950s the Swazi Treasury generated its own records. No formal effort was made to store these records safely or to arrange and describe them, and some were destroyed through neglect. However large quantities did

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[31] Stevens, R.P. Lesotho, Botswana, Swaziland. Op.cit. pp.3-9.

survive, particularly in the Swazi Trasury Offices.

3.5.4   Records of the British Administration
in Swaziland

Secretariat Records

Although Britain did not assume direct administration of
Swaziland until after the Anglo-Boer War, there had been a
British consulate at Bremersdorp (Manzini) between 1895 and
1899. During the Anglo-Boer War these records were moved
to Cape Town to the office of the High Commissioner for
South Africa for safe-keeping. They subsequently became
part of the High commissioners's Archive.

For a few years after the Anglo-Boer War Swaziland was
administered as a district of the Transvaal Colony, before
being declared a British Protectorate in 1906. The powers
of the Governor of the Transvaal in relation to Swaziland
were transferred to the High Commissioner for South Africa
(the Governor of Cape Colony), who issued a proclamation
appointing a Resident Commissioner with a secretariat in
Swazialnd. Regular record keeping in Swaziland began at
this time.   These   records   comprise   the   Resident
Commissioner's correspondence with the High Commissioner
and   the   internal   correspondence   of   the   Swaziland
administration.

The Swaziland Secretariat had one registry which served all the Secretariat staff. In 1907 this included the Resident Commissioner, an Assistant Commissioner, a Government Secretary and officers in charge of medical affairs, police, customs, public works and veterinary offairs. These officers gradually developed technical departments which made up the administration, but the departments continued to be served by one registry.

Until the 1940s the Secretariat maintained only one registry file series numbered consecutively. Each new file opened received the next running number. At the end of the year the file series was closed and a new one opened at the beginning of the new year. Through the 1920s about 400 files were opened each year. By the 1940s the number had grown to about 700 a year, and it continued to grow steadily.

This growth of files led to the introduction of a new system of file classification in 1946. A new chronological series was opened and ran until the early 1960s. As files on new subjects were opened they were given the next running number in the file series. However, files on new aspects of existing subjects were opened in sub-series relating to existing file numbers. Each new file in a sub-series was preceeded by the next available letter of the alphabet. Thus for instance in 1946 the first file in the series was on Annual Reports. File 1A was on the

Distribution of Annual Reports and 1B on the Prison's Annual Report. Similarly, in the 1950s a file on the Delegation of Powers received number 3011. A sub-series developed around this subject inluding files on the Delegation of Powers to the Resident Commissioner (3011B), Delegation of Powers to Departments (3011P).

This system changed again when the Secretariat registry was decentralised in the 1960s. At this time the departments set up their own registries and kept their own file series. These file series were preceeded by meaningful letter codes, followed by a number code for the sub-series and a file number. This system continued in the early years of Swaziland's independence and the departments were grouped together in ministries. For instance, in the Prime Minister's Office the Establishments Department kept a file series on Establishments General (ESG), within which there was a sub-series on allowances (10). A file in this series on Commuted Motor Mileage had the file reference ESG10/11.

District Administration Records

When Swaziland became a Protectorate it was divided into four administrative districts, each under a district Commissioner and this pattern of administration remained essentially unchanged throughout the colonial period. Gradually the departments of the Secretariat posted technical officers to the districts to assist with

development projects.   Each District Commissioner
maintained his own registry, which also served the
technical officers. The District Commissioners also served
as magistrates, and the records of the magistrates, and the
records of the magistrate courts were held in the district
centres.

3.6   ARRANGEMENT FOR THE PRESERVATION OF RECORDS
IN SWAZILAND DURING THE COLONIAL PERIOD

In the first quarter of the century the colonial
administration showed little interest in preserving public
records. It was in 1929 that a Colonial Office Circular
was issued to the Resident Commissioner enquiring as to the
state of records in Swaziland. The Resident Commissioner
wrote to the High Commissioner in Cape Town informing him
that the records were in fairly good order. In fact, the
closed records were not bound and no steps were taken to
ensure that registers and other records were securely kept
in Swaziland.[32]

It would be expected that the colonial administration would
make a follow up in designing and establishing an archives
service as a result of the interest shown by the Colonial

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[32] ESARBICEA 9: Historical Development of Archival
Sciences in Eastern and Southern Africa. Ed.by R.J. Kukubo.
Roma: The University Press of Lesotho. p.181.

Secretary in respect of older records. Instead government officials continued to destroy the records without any authority. For example, in 1930 Police records were destroyed arbitrarily. The Resident Commissioner did then issue further instructions to the Financial Secretary stating that in future no records should be destroyed without the permission and approval from the Financial Secretary and the Financial Secretary issued a circular to this effect. The instructions curbed the rate of destruction of records to some extent. However those government officials who did not read the instructions continued burning records. There were some who were aware of the circular but simply did not adhere to it.

In the 1930s and during the Second World War nothing appreciatively was done in the way of preserving the records. After the war Government's limited resources were used to reconstruct Swaziland's shattered economy and to implement developmental projects. For these reasons and others the archival programme was shelved for the time being but not entirely forgotten. During the 1950s little official attention was given to archival development in Swaziland. Nevertheless, it was in this period in that V. F. Ellenberger, a retired military officer, began work on a comprehensive catalogue of the Swaziland Secretariat records. The work was completed in 1962.[33] Unfortunately, Mr. Ellenberger had no archival training. He arranged the

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[33] Ibid.

records by subjects and then chronological rather than according to their original order.

3.7   RECORD-KEEPING POST INDEPENDENCE

3.7.1   Development of Archival Services

The advent of an archives programme in Swaziland was a result of a project initiated by the government after independence to preserve the cultural heritage of the nation. To this His Majesty the King Sobhuza II allocated fifty acres of land adjacent to the Houses of Parliament at Lobamba for the creation of a National Centre and National Archives complex. The centre was intended to house and store information on history and ethnology of the Swazi people and their culture. The National Trust Commission was established and charged with supervision and control of the Swaziland National Centre and other declared intitutions, national parks, monuments, relics and antiquities.[34] The idea of the national centre did not materialise. The National Archives developed as a separate and independent institution.

The National Archives was initially set up as a department of the Deputy Prime Minister's Office. An Archives Act came into effect in 1971. An expert archivist Mr. V.W.

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[34] Ibid.,p.183.

Hiller was appointed. He was the former Director of the Rhodesian Archives and had been responsible for establishing archival services in the Federation of Rhodesia and Nyasaland. He also advised other African countries on the management of their archives. He was later honoured with an O.B.E. He was instrumental in planning the archives building and even helped to raise money to build and equip it from governments and companies especially from South Africa. He was assisted by a British national, the former head of the Malawi National Archives, Mr. J.C.Drew. When the archives building was finally completed in 1977 and officially opened in 1978, both these officers had left the Swaziland government service for various reasons. The transfer of records from their temporary storage in Mbabane and from various ministries/departments to the archives building was carried out by the newly qualified local archivist.

3.7.2 Deterioration of Record Keeping Practices in the Post Independence Period

Although progress was made in terms of establishing the National Archives, record keeping practices in the registries began to deteriorate after independence, with inevitable consequences for the archives in terms of the quality of records produced and the conditions in which they were kept. The civil service grew. The small departments which had came under Secretariat became

mininstries and continued to expand rapidly. At the same time, photocopying and duplicating machines were introduced in all the ministries/departments. This led to the growth of the number of records being produced. In many instances, the officers were fascinated with these machines and were trilled to use them unnessarily. Hence the administration had no way to prevent the duplication of records, many of them ephemeral. As result of these factors the quantity of papers and the number of files kept in the registries increased significantly.

Little thought was given to adapting the registry systems to the changing situation. Registry file series became increasingly less meaningful and the uniformity of the numbering systems was abandoned. For a time the training in registry practices offered at the Swaziland Institute of Management and Public Administration to all entrants to the Clerical Cadre did at least help to maintain the pre-independence systems, but the emphasis on these courses and their standard gradually declined. The consequences of this situation are explored in detail in Chapter Four.

CHAPTER FOUR

ACTIVE RECORDS

4.1 INVOLVEMENT OF MANAGEMENT

Good record-keeping in Swaziland, as anywhere, is a
management function. In order to ensure that records are
created and manintained in the most useful manner, it is
essential that personnel at all levels of the civil service
- upper, middle and lower management should be involved.
In Swaziland the government has not yet recognized that
current records must be managed as any other resource.
Hopefully, this study will raise questions and draw
conclusions which will contribute to the establishment of
a sound records management programme for Swaziland.

During the interviews carried out in the course of this
study, upper management recognised that problems exist and
that something must be done to remedy the situation.
However, the officers felt that it was the duty of their
subordinates to initiate action and give them feed back for
their approval. When asked whether they expected middle
management to supply them with urgently needed information,
they responded by saying that they would prefer to fetch
the information from the registry themselves in order to
save time. On the other hand, the middle management
personnel indicated that if upper management did not

initiate action with regard to the deteriorating state of record-keeping, they saw little they could do as their seniors had indicated no urgency. Lower management complained that their efforts to put the wrongs right were being hampered by both upper and middle management. Each group blamed one another for not taking positive action.

During the records survey most of the time was spent with the registry staff. Their plight can be likened to the grass when elephants fight. Whenever information is needed and cannot be found immediately, they are humilated and sometimes treated like children. They are blamed for everything that goes wrong in the registries. The upper and middle management are not aware that there is something wrong with registry system but tend to blame the problems on the staff. As a result, the registry staff fear to report to the management that the present system should be improved. There is a course for registry staff at the Swaziland Institute of Management and Public Administration (SIMPA) which still provides basis training in registry procedures for some of the staff. However, even those staff who have had some training are not able to make improvements because they get no support in the ministries. The situation does not allow them to put theory into practice. There is a need, therefore, to overhaul the present practices.

When interviewed, some of the registry staff refused to blame their superiors for fear of reprisal. However, they felt at ease when told that the data was not intended for the ministries' consumption but for the University of London. They began telling the truth about what is going on in the registries. They were also assured that the findings of the study would lead to a better understanding of how registry services could be improved.

From the records survey conducted, it is clear that management is aware that a problem exists, but that there is no one with the skills or the courage to tackle it. There is, therefore, a need to establish a records management programme and to convince management of its value. However, there are many reasons why there may be resistance. The fear of the users is that they will lose control of their records and will not find needed information when they need it. There is, moreover, a widespread ignorance of the records management concept. When the author raised the issue he found that, more often than not, management assumed that records management was either a fancy name for filing or that it dealt only with inactive records. Clearly, there is a need to educate management in this area. Management also indicated that records management is not cost-justified as no revenue would be generated. The management should be made aware that records management saves the organization money through the more effective use of the existing office space

and reduces expenditure for filing equipment. The fear was also expressed that records managers will gain too much power by telling the management what to do instead of vice versa.[1]

Experience in other countries has shown that records management can be sold to management in stages. The first stage is to conduct an initial survey to convince management that a problem exists. The second stage is to select a test area for implementing the programme. One or two departments which have real problems should be selected for the pilot programme.[2] In all the stages, management must be consulted and be made aware of what is taking place. This will help alleviate fear.

The records survey should give a complete overview of the records, their use and the organization itself. It will be the basis for establishing the records management programme. The aims of the survey should include the following:
- To know what information exists
- To know what records are and the procedures for working with them
- To evaluate the effectiveness of filing systems
- To gather information to determine what records

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[1] Diamond, S.Z. Records Management: a Practical Guide. Op.cit. p.6.

[2] Ibid.,p.9.

should be microfilmed

- To learn the users' information needs

- To know all available storage media

- To assemble data which will help in planning
  for information requirements if a new building
  is to be constructed

- To plan retention policy

- To identify vital records in order to protect them

- To identify historically significant records
  in order to establish an archives.[3]

4.2   THE STATE OF REGISTRIES IN SWAZILAND

Unfortunately, Swaziland has no records policy for the
ministries/departments. The study showed that, in general,
the ministries still follow the registry systems
established during the colonial era which are no longer
appropiate to the needs of the present day government.
Ministries have grown and expanded ten fold, new services
have been introduced and the number of personnel increased.
The registries can no longer cope with the complexity of
managing the records. The tendency to continue using
procedures without any real attention being paid to their
maintenance and upgrading has resulted in poor filing
practices and the slow movement of files and information.
The practices that did work well in colonial times have
broken down.

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[3] Records Management. A. Morddell [et.al]. Op.cit. p.47.

Many of the procedures necessary to operate efficient registry services are not in place. There are many reasons for this inadequancy. There is no registry manual in the whole of the civil service. Hence the creation of records is not controlled. The registry staff are not adequately trained; hence they do not see the importance of their work. The Registry Supervisors/Clerical Officers report to Executive Officer and depend on their advice, yet the Executive Officers have often never worked in the registry. Surely, it is a question of the blind man leading a blind man.

Sometimes the attitude of management towards registry staff is appalling. More often than not, the users will not take advice from the registry staff and expect their orders to be carried out no matter how damaging they might be. In these circumstances, there tends to be a breakdown in communication due to mistrust. The result is that the whole registry system is collapsing. As it is, registry management in Swaziland needs a complete overhauling.

The areas in which improvements could be achieved are analysed in the remaining sections of this chapter. Where appropiate, the practices prevailing in Swaziland are described and observations are made on improvements which could be introduced. These sections cover the creation of records, mail management and filing, maintenance and use of files, security and storage, vital records and the need for

a manual.

4.3   CREATION

4.3.1   Benefits of controlling Creation

One of the benefits of a records management programme is
that it provides a means of controlling the quality and
quantity of records. When proper controls on the creation
of records exist, there is overall improvement of office
administration and procedure. The following are among the
most   important   means   of   control: correspondence
improvement, reports control, forms control, and control of
internal office instructions and directives.[4] A successful
records management programme for Swaziland would need to
address each of these areas.

4.3.2   Correspondence Control

Who may create records? In any organization records are
created by top executives and ordinary officers.   The
records are created to convey information which serves as
a memory for the organization. Correspondence including
letters, telexes, faxes, etc originates in a number of
ways.   including dictation, handwritten drafts, word

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[4] Robek, M.F., Brown, G.F., and Maldke, W.O. Information
and Records Management. ENCINO: Glencoe Publishing Co., 1987.
p.7.

processors and telecommunication systems. Correspondence control at the earliest stage is fundamental. Therefore, officers should be encouraged to create only essential records. Telephones should be used extensively for official communication as well as arranging for personal contact.

However, in Swaziland approximately ninety per cent of telephone conversations of civil servants are absolutely private. Instead of using telephones, officers prefer to write letters and memoranda simply to impress their superiors that they are working hard. They also tend to copy correspondence to many more people than need to see it to show that they are working. At the end of the day, it is discovered that much of what they have written is of little or no importance. For instance, when an officer is repriminded for a minor offence he has committed, the letter is copied to the Permanent Secretary of the Ministry of Labour and Public Service, Secretary of the Civil Service Board, Accountant General, Audit General and Secretary to Cabinet. Surely, all these people do not need this kind of information. A clear policy and set of procedures regarding correspondance management could eliminate many of these ills.

4.3.3   Reports Control

Under this heading, the discussion will be centred on the role of reports in government, objectives of reports management and the benefits of reports management. Reports play a vital role in government ministries/departments. They provide information that allows government officials to follow the progress of specific projects; obtain factual measurements of specific conditions; measure results in quantitative terms; recognize trends, problems, and factors affecting programme direction and evaluation; and evaluate overall performance.[5]

Reports management has many benefits. It aids government in providing a systematic means of improving the flow and contents of information; helps to reduce voluminous data accumulation by eliminating unnecessary duplication of reports; provides the means for measuring the value of information against the cost of collecting it; and improves the reporting methods and techniques by applying information processing techniques and reducing government's costs.[6] The main goal of reports management is to improve the quality and economy of reporting by providing management with the information it needs at the right time, in the right format and at the lowest cost possible.

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[5] Ibid.,p.494.

[6] Ibid.,p.494.

In Swaziland, reports are produced everyday. Instead of circulating them to officers who are likely to take action, senior officers demand to have their own copies. Hence many offices are full of reports which are gathering dust. Moreover, there is no reports control. The officers simply produce reports in order to have their names in them. There is a need for the ministries to produce fewer reports in order to improve the quality of reporting to enable management to make the right decisions.

4.3.4   Forms Control

When properly managed, analysed and designed form a systems prospective, forms become tools which may be used to organise, collect and transmit information. Therefore, well used forms enhance the flow of work through an office or entire ministry and government as a whole, increase operational efficiency and effectiveness and reduce costs.[7]

In Swaziland, forms management has not been developed and nobody has addressed the issue for the need for forms control. Many forms are designed and used by government officials to organise, check and transmit information. The officers spend a lot of time filling the forms which are poorly designed often the information is duplicated elsewhere, and sometimes it is not of use to anyone. There is a need for the government to embark on forms management,

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[7] Records Management. A.Morddell [et.al]. Op.cit. p.109.

perhaps, after records management programme has been established.

4.3.5   Control of Internal Office Instructions and Directives

Directives management refers to the policy and procedure statements issued by an organization. A policy is associated with what a person should do, and how it should be done is a procedure.[8] For our study, directives cover office notices, bulletins, board notices, management statements, circulars etc. These comprise the policies and procedures of an organization. In many offices directives are consolidated into a manual or staff handbook.

A few ministries in Swaziland have clearly defined instructions and some types of instructions are applied uniformily throughout the civil service, notably those concerning finance. However, in many areas Swaziland Government officers have no clear guidance whatsoever; therefore officers perform their work as they think best or at least easiest. In other words, they perform an operation without any policy.

If a department is to be well organized, co-ordinated and properly administered, its objectives and policies should be spelt out in no uncertain terms. Swaziland

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[8] Ibid.,p.94.

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ministries/departments need manuals or handbooks, including registry manuals, based on their operations.

4.4   MAIL MANAGEMENT AND FILING

4.4.1   Mail Management

Mail management is one of the crucial first stages of a records management programme. It covers procedures for handling mail, internal delivery of mail and outgoing mail. In Swaziland the incoming mail is collected from the Post Office by the messenger twice a day. A small portion of mail is delivered to the registries by hand from the private sector. Confidential mail is handed over to the Personnel Secretaries of senior officers by Clerical Officers of the open registries. In effect these Personal Secretaries run confidential registries.

Inter-ministerial mail is collected by messengers from the Ministry of Foreign Affairs which is responsible for a central depot. This is intended to cut costs and maintain security. Messengers bring with them securely locked mail boxes containing outgoing mail from their respective ministries. The boxes are emptied and loaded with incoming mail and securely locked. They are then taken back to the ministries and received by the Personal Secretaries. The following morning, both the Personal Secretaries and registry staff open their mail received the previous day.

This means that an urgent letter cannot be attended to until one day has elapsed.

The mail is sorted, date stamped and entered into a register - a time consuming exercise. It is then put in a folder and circulated to senior officers and heads of sections. The Permanent Secretary sees it first and delegates responsibilities by minuting letters to action officers. When the mail folder is finally returned to the registry, the registry staff put the papers on appropiate files and forward them to the action officers. This can delay action by two or three days or longer.

The registry staff collect the outgoing mail from action officers after the letters have been signed. Duplicate copies are filed; letters to be posted are inserted into envelopes, sealed and despatched by the messenger. For secret and confidential letters, the envelopes are sealed and stamped "secret or confidential." Money transactions including cheques are recorded in a register and are registered again by the Post Office.

By the time the mail passes through all of these procedures, there are long delays in reaching the action officers. This in turn causes unnecessary delays in the execution of duties in government ministries/departments. The study showed that some of the procedures could ultimately be altered to speed up the process. For

instance, the stamping and registering of the mail will remain important until the system gets straightened out but could be eliminated if effective indexing and tracking systems were in place. The practice of circulating the mail should be limited to the officers who have a direct interest in an issue or are required to take necessary action. Also, once a substantial improvement has been achieved in the registry, there should be one secure registry rather than a confidential and an open registry.

4.4.2   Filing

File Classification Systems

Some of the important principles to be understood before attempting to classify subjects are as follows: classification should be logical i.e. it should proceed from major to minor; it should be carried out in a manner that is simple, functional, retention conscious and flexible.[9]

In Swaziland filing systems are not monitored or controlled. The registry staff simply assign new files the next available number in the registry list. The number means nothing in its own right and there is no indexing. This makes retrieval difficult as the registry staff must rely on their memories. The requirements of the users need

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[9] National Diploma In Archival Science. Op.cit. p.6.7.

to be carefully considered so that appropiate filing
systems can be introduced.

Determining the File Series

Whichever referencing system is selected, the series to
which the file belongs must be identified. A record series
is a group of records filed together in a unified
arrangement which results from, or is related to, the same
function or activities. Examples of record series include
departmental correspondence, vouchers, personnel records
etc.[10]   The functions of the department should be
indentified and appropiate series created. For example, in
the Department of Establishments and Training there are
several file series each of which has been given a letter
code. These include: (ER) Establishments Records; (EB)
General Establishments Matters; (EC) Establishments
General; (ES) Establishments Staffing etc. There is also
a file series for the whole department. However, in this
case the file series titles are confusing as their titles
are so general and their contents overlap. More thought
needs to be given to creating file series which will serve
the needs of the office.

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[10] Diamond, S.Z. _Records Management: a Practical Guide._
Op.cit. p.23.

Determining the Subject of the Paper

When a document has been received or created, it must be filed. Before documents are filed, they must be classified. This may well be the most important aspect of registry work, for once a paper is placed on wrong file, it is difficult for action officers to retrieve the information. If papers about the same subject are in different files, it is difficult for action officers to take decisions. Therefore, the registry staff should study the papers carefully in order to determine the subject before placing them on files. It is the duty of the supervisor to ensure that papers are correctly filed. If there is a doubt about the papers, action officers should be consulted.

Misfiling is a common problem in Swaziland and causes continual problems for action afficers. Often papers relating to the same administrative action are to be found scattered through several files. Consderable training is needed in this area.

Creating a New File

Files should not be opened in anticipation of the growth of a subject. If this is done, it results in a waste of time and file covers and a confused file index. Therefore, a file should only be created if a document is received or

created relating to a subject which seems likely to grow and for which no appropiate file exists. The file should be given a file number and a title.

The file title should be carefully and precisely selected. The title should assist the user to know what the file contains. File titles should discourage the registry staff from using the file to cover different developments of the original story. In other words file titles should not be ambiguous.

In Swaziland the registry staff have maintained the valuable practice of close consultation between the action officer requiring the file and the registry supervisor in determining file titles. However, because there are no indexes it is often difficult to know what files already exist on a particular subject and sometimes the registries open more than one file on the same subject.

Monitoring File Growth

Unless care is taken, files on active subjects can grow bulky quickly. Files should not be allowed to grow thicker than about an inch and half. At this stage the file should be closed and a new volume opened. Rapid file growth often means that the title is too broad and that one or more new files needs to be opened to cover related aspects of the subject.

In Swaziland it was observed that files are closed when they are "bulky", which may sometimes mean that they are three or four inches thick. This puts a strain on the files. Covers tear, spines break and the files are difficult for action officers and registry staff to handle. The problem is compounded by the tendency of registry staff to file pamphlets and other literature with the files.

The same problem in reverse was also observed in the registries. The common practice is for files to remain open as long as they are not bulky, even if they are more than five years old. It was observed that some files had been opened for thirty years or longer, even though there had been no activity on the files for years. The percentage of files in this category varies from registry to registry, but these files sometimes account for a quarter to a third of the files in active storage and they are a significant factor in registry congestion.

4.5   THE MAINTENANCE AND USE OF FILES

4.5.1   Recording the Existing of New Files

The existence of each newly created file should be recorded so that it can be managed and produced when required for business operation. There are at least three basic control mechanisms which should be applied to all files. These are the file diary, the file index and the file transit book or

card index. The omission of any one of these control mechanisms will make tracking of files impossible.

The file diary provides for entering the number of the new file, its date of opening and its tile. This is to enable the registry officer to monitor files which he has opened and when. At the end of each year the file diary sheets may be placed on a registered file and a report made to the records manager and the Director of Archives of the number of files opened in the year. No such chronological diaries are kept in Swaziland, although the registries do usually keep file lists.

Secondly, the file should be indexed. An index is an arrangement of names or topics in alphabetical order that provides the searcher with means of locating an item filed within the system. The most important subjects of the file must be identified along with any additional related subjects.

The index may be maintained on cards or on index sheets, kept in docket books and filed in alphabetical order. A new card or sheet should be opened for each index term in use and the relevant files systematically recorded under this heading. An additional index to references to names of people, places and organizations mentioned in the correspondence will provide even greater control.

In Swaziland the registries do not index the files when they are opened because there are no procedures for doing so. Without indexes it takes time to provide the necessary information on request and this leads to delays in the execution of the duties of government. The absence of a file index also contributes to the file titles being ambiguous and thus to papers being put on wrong files.

The third basic step in recording the existence of the file is the creation of a transit record. This may be achieved by using sheets filed in a docket book or cards or both. If cards are used, one card may be created for each file or a central set of cards may be set up to be used and reused whenever files move. If transit sheets are used a new sheet should be opened every time a new file is created. File movement books used to be kept in Swaziland but have gone out of use.

4.5.2   Control of File Movement

Files are issued to action officers in different circumstances. When a document arrives in registry, it is placed on a file and passed to the relevant officer; files also are sent to officers either on a specific date when action is to be taken or whenever the officers request them. The registry staff should know the location of every file for which they are responsible at all times.

Each time a file is issued to an action officer, the
registry must note to whom the file has been issued and
when on the relevant card or sheet. When the file is
returned to the registry, this should also be recorded.
However, when the action officers decide to pass the files
directly to another officer, the officer to whom the file
has been issued should complete a transit slip and send it
immediately to the registry. When the registry receives
the transit slip, the information is entered in the transit
record. Each file movement should also be recorded on the
transit ladder that appears on front of the file cover.
This will provide a concise record of who has worked on the
file and when.

The study revealed that in Swaziland with the breakdown of
file movement books, files could not be located when
needed. The registries release them to action offficers
without this being recorded and the officers tend to
exchange files among themselves without notifying the
registry. This causes delays in the execution of duties of
the ministries. It also means that registry staff spend a
considerable amount of time searching for the files both in
the registries and in offices.

4.5.3   File Census

Despite all efforts to control file movement, officers will
at times pass files to one another without informing the

registry. The registry staff should therefore carry out a regular census on every file. They should visit every action officer at least once each week and register all the files held by that officer on a file census form. It is useful if the regisry officer carrying out a file census signs the bottom of each file census form and the action officer initials it. The information should be checked against the transit record, which should be updated.

4.5.4 Bring-Up Diary

The bring-up system allows action officers to request that the registry returns a file to him for action at a later date. Action officers will indicate the need for any "bring-up" on the file minute sheet which must be examined by the registry staff immediately a file is returned to them. Each request for a bring-up should be recorded in the bring-up diary under the date due for bring-up. Each afternoon, the registry clerk must look at the bring-up entries for the next day, take out each file due to be brought up and mark up the transit ladder and the transit card or sheet for despatch to the relevant officer the next day. After action has been completed the action officer should cross the file off the bring-up diary.

In Swaziland the bring-up system was used in the past but is fast deteriorating. The study revealed that most registry staff no longer keep BU records but tend to leave

the required files lying around the registry and to rely on their memories. As this is not always a very efficient system, the action officers tend to hang on to the files to be certain that they will have them when they need them.

4.6   SECURITY AND STORAGE

4.6.1   Security

In any organization dealing with current papers, there must be measures in place to ensure that the records are secure at all times. All records areas containing records must be locked up when no member of staff is present. Visitors should not be allowed into the storage area, and if in special circumstances they do enter the areas they must be accompanied, irrespective of who they are. The record areas should be checked against marked changes in temperature and humidity, leaking pipes, broken windows, etc. Every visitor should sign a visitor's book.

In the Swaziland ministries, important information is unprotected against fire, flood, theft, loss etc. When the registries were set up, security measures were not taken into consideration. Any available office space was converted into registries. Due to the shortage of waiting rooms, registries also tend to serve as reception areas for all kinds of people including visitors, building contractors and sales ladies. Moreover, any officer can go

to the registry and retrieve files in the absence of the registry staff. In other words, the registries are not restricted areas. Often a registry clerk leaves an important document on his/her desk, and there is danger that vital information may be taken away by unscrupulous people. As such, many records have disappeared from the registries without the knowledge of the registry personnel. The filing cabinet drawers are not locked during working hours and often the drawer key is displayed in public thus inviting thieves to duplicate it at will. In most registries the doors are not locked after the end of the working day to allow the cleaners to have easy access. However, some ministries do take special precautions.

Another danger is that the registries are not fitted with fire fighting equipment or fire alarms. In case fire breaks out, the destruction will be quite serious indeed. It is recommended that records should be protected against fire, flood, theft, loss etc.

Prevention of file losses in the registries should be a priority for management. The security of registries should be strictly observed at all times to ensure that files are not tampered with while in storage. The Registry Supervisors should ensure that registries are not left unattended at any time and that the keys, both at lunch time and at the end of the day, are left with the supervisors or the records manager. The registry staff

should always lock the date stamp and index lists away when the registry is left unattended.

4.6.2 Storage

When current records are created, storage equipment should be carefully selected to suit the type of the records. The type of storage selected should allow easy access, easy retrieval and should contribute to a pleasant working environment for the staff. This will in turn help to improve the performance of staff in handling the records and minimise misfiling.

Records management staff should be called upon to advise on the most appropiate storage equipment, taking into account the functional and physical characteristics of records stored and how long they will be stored. Various types of filing equipment can be considered including four drawer filing cabinets, open shelving, two door lockable cabinets and mobile shelving.

In Swaziland, where the failure to apply retention standards has compounded the storge problem, traditional four drawer systems are still the predominant form of storage. They utilise excessive amount of floor space. It is for this reason that many files are found stacked up on top of cabinets, in corridors and elsewhere. Some ministries use open lateral shelves to store their records.

This enables efficient much more use of space but is less secure than filing cabinets. Until the overall security of the registries is enhanced, the use of open shelving is not always advisable.

4.7   VITAL RECORDS

Exactly what is meant by vital records? Susan Diamond defines vital records as those records needed to resume operations in the events of disaster. Therefore, every organization irrespective of its size needs a vital records programme to protect its information from destruction. When this definition is expanded it may be taken to cover other categories of records which must be protected including records relating to the rights of employees and customers and valuable research findings. Vital records should be protected against hazards of fire, flood, mildew, light dust, humidity, theft, insects, explosives, leaking pipes, rats and animal infestations, people's carelessness, and natural disasters such as earth quakes.[11]

Swaziland would benefit if its vital records were to be stored in a vital records centre. A vital records programme would be required to define the record types covered and assign responsibility for protecting them. A policy paper should outline objectives and responsibilities, identify hazards, classify and list vital

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[11] Ibid.,p.62.

records and decide upon the protection measures to be followed. Procedures and guidelines should be written, storage facilities selected and procedures developed. The programme should be audited and tested. In addition, a vital Records Committee should be established.[12]

Swaziland had never attempted to identify and protect vital records. The reason behind this negligence could be that there was no awareness among Swaziland officials that such records needed special protection. This could be attributed to the fact that no major disaster has been experienced in Swaziland in which the important records were lost and there was a need to reconstruct the organizations.

4.8   THE NEED FOR A REGISTRY MANUAL IN SWAZILAND

Many of the problems discussed in the preceeding sections could be solved by the introduction of a manual of registry procedures which could guide the registry staff in their work. It has been amply demonstrated in such countries such as the United Kingdom that many of the problems which occur in relation to maintenance and use of files can be overcome through the introduction of a manual of registry practice. This would help to ensure a consistently high standard of registry practices throughout the civil service. It would allow an integrated coherent approach to problems

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[12] Ibid.,p.64.

experienced by the registries. If such problems are tackled separately further problems may arise. Without a manual, problems are left to the individual filing clerks who have to consider how best to perform their duties. However, in order to create a useful manual, Swaziland's record-keeping problems must be studied, analysed and proposals made. Abstract theory should be kept to the minimum.

Drawing on experience gained elsewhere, it is clear that the manual could be divided into sections. The first section could deal with registry organization. It could spell out clearly the functions of a registry and responsibility for registries. The second section could deal with the care of files and arrangements for filing and make-up of files. The third section could cover the registration of files. This section could discuss the recommended registration systems, opening files, indexing, part files, transfer and re-registration of files in other series, amalgamation of files, and temporary jackets. The forth section could deal with the custody of the files and recording their movements. The fifth section could set standards for the closure of files and treatment of classified files. The sixth section could concern itself with personal files and records. However, it should be mentioned that the successful implementation of the manual would depend on an effective and efficient records

management programme.[13]

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[13] <u>Manual of Registry Practice.</u> London: Civil Aviation Authority, 1979. pp.iii-iv.

CHAPTER FIVE

SEMI-ACTIVE RECORDS

5.1   THE NATURE OF SEMI-ACTIVE RECORDS

This chapter is concerned with semi-active records.
These are records which are no longer in current use but
have ongoing administrative, fiscal and legal value. Some
of these records may ultimately be shown to have historical
value and will be selected for preservation in the
archives. They should be removed from office areas to more
inexpensive storage sites where they will later be
appraised and the decision will be taken as to whether they
will be kept or destroyed.

Semi-active records are considered here firstly in terms of
the principles of appraisal and criteria for retention.
Then the records centre concept is examined. The reasons
for establishing a records centre and the requirements for
a records centre building are considered. Finally what is
actually happening in Swaziland is reviewd in terms of the
lack of procedures to manage semi-active records.

5.2   THE APPRAISAL OF RECORDS

5.2.1   The Objectives of Appraisal

There are many definitions of records appraisal. This is
a useful one:

> Records appraisal is an examination of the data
> gathered through the records inventory to
> determine the value of each record series to the
> organization.   The records appraisal process
> ensures that proper retention and disposal of
> records are produced. The result of this process
> should be a records retention schedule.[1]

Therefore records appraisal is the process of determining

which documents are ephemeral and may be destroyed and when

and which are important enough to be preserved permanently

in archives repositories.[2]

Although much has been written about records appraisal,

there is no easy formula to evaluate records for archival

retention.   Appraisal is inevitably influenced by the

person or team conducting the work. Appraising records in

not an easy task and should be carried out with care and

attention.

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[1] Ricks, B.R. and Gow, K.F. Information Resource
Management. Cincinnati: South Western Publishing Co.,1984.
p.49.

[2] National Diploma in Archival Science. Op.cit. p.45

Records appraisal is an ongoing process throughout the life of the records. It should take place at the earliest possible stage of the life cycle. As long as the records have ongoing administrative, financial or legal value they should be preserved, preferably in a records centre, but as soon as they cease to have value they should be destroyed. This helps to ensure that valuable records will be carefully identified and protected until they are transferred to the archives. At the same time ephemeral records will be identified for destruction early in the life cycle so that they may be disposed of promptly whenever no longer needed for current business, thereby releasing staff time and storage space.[3]

Appraisal decisions must be taken in a rational manner. Often they are difficult to take when records are still active but should be deferred until time has elapsed or more information is available.

Record appraisal should be conducted at the series level as far as possible. The records series should have been well defined by the creator. The records in a series are maintained and used together and are related to one another by subject, function or physical type. Therefore, appaisal at the series level is usually efficient and effective. It avoids the time consuming process of evaluating individual

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[3] <u>Managing Archives and Archival Institutions.</u> Op.cit. pp. 54-55.

documents and it ensures that all documents are considered and evaluated within their context. Thus their administrative, financial or informational value and research potential can be considered.[4]

5.2.2   Retention Schedules

One of the common practices in modern records management is to develop a time table or schedule giving written instructions as to how long each record series should be kept. Some series of registered files will have to be examined file by file, but for other series a decision can be taken in advance as to whether the whole series should be kept or destroyed, and if it is to be destroyed when this should take place. Ideally the retention or review period should be established at the time the series is set up. It is important that the records managers or archivists draw up the schedule in conjunction with creating agencies.[5]

Records retention schedules will identify certain records which are to be destroyed immediately. These are papers that arrive in a registry that have no value such as greeting cards, publicity material, compliments slips and unsolicited sales blurbs. The normal practice is to destroy them after reading. Other records should be

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[4] Ibid.,pp. 55-56.

[5] Ibid.,p.58.

destroyed after an event has taken place. These include meeting announcements, invitations, requests for information, announcements of holidays, travel and hotel booking confirmations. The records to be destroyed five years after closure may include advertisements for jobs, application forms, leave forms, attendance books, paid vouchers and receipt books. Records to be destroyed ten years after closure may include cash books, ledger books, circulars and notices and minor contracts. Records to be destroyed twenty years after file closure are, for example, non-historical policy files and minor contracts.[6] According to ARMA (Association of Records Managers and Administrators), one third of the papers received in an office can be thrown away immediately, another third can be transferred to inactive storage when no longer needed for current business leaving the remaining third which are needed and will be used.[7]

Records retention schedules have the following objectives: they reduce the costly storage of unnecessary records; they provide efficient retrieval of needed, inactive records because the location of the records (in the office, records centre or archives) will be known; they demostrate the organization's compliance with legal retention

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[6] Lecture notes given by A. Morddelly, 1988.

[7] Establishing a Records Management Programme. Op.cit. p.39.

requirements;[8] they support ongoing operational activities in pursuit of agreed business objectives and they recognise the financial and historical values of the records.

If retention periods were not set at the time the file series were created, there are several steps which should be take in introducing schedules. A record inventory must be made to determine what records the organization has. It will identify each record series or group of records filed together in one system and treated as a unit. It will also indicate where the series are located and their quantities. During the appraisal process the data gathered through the records inventory will be analysed to determine the value of each record series to the organization and will set retention periods accordingly.[9]

5.2.3   Criteria for Appraisal

Records have two basic characteristics which determine wether or not they should be disposed or preserved. These are known as the primary and secondary values.

Primary Value

All records are created for a purpose. This purpose may be

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[8] Ricks, B.R. and Gow, K.F. Information Resource Management. Op.cit. pp.39-40.

[9] Ibid.,pp.41-42.

only a short term one or it may last longer. This is known as the primary value of the record. As part of the appraisal process, three aspects of the primary value must be considered for each record. These are administrative, fiscal and legal values. The administrative value of a record series helps to determine organizational policy or to explain operating procedures. Charts, policy statements and procedure manuals often have ongoing administrative value. A record series has fiscal value if it provides documentation on the use of government funds necessary for audit or operational purposes or financial data needed to compile reports. Income tax returns, estimates and records of other financial transactions are examples of records with financial value. A record series has legal value if it is created in the course of or documents a legal transaction. These records include contracts, financial agreements, titles and records which provide proof such as letters of appointment.[10]

Secondary Value

Primary values diminish as administrative transactions are completed, fiscal books are closed and the passage of time reduces the need for legal concern about routine matters. Thereafter, records have secondary values for the purposes other than those for which they were created, particularly

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[10] Managing Archives and Archival Institutions. Op.cit. p.60.

as source material for research.

Secondary values fall under two categories, evidential value and informational value. Records which document the operations and activities of the record creating institutions have evidential value. They help to determine the organizational structure of an institution and to document its procedures, policies, and activities. Records with evidential value are important in that they help ensure the public accountability of government organizations and they are needed for studies of administrative history.

On the other hand, records that contain information about persons, or places, subjects other than the operations of the organization that created them have informational values. These records are used for studies concerning historical events, social development or any subject other than the organization itself.[11]

5.2.4   How is Appraisal Carried Out

There has been a tendency among archivists to assume that appraisal is a process aimed at selecting records for the archives. However, the decision making process must take a range of needs into account. The earliest considerations are the needs of the administrators and the rights of the

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[11] Ibid.

state and its citizens. Therefore, the appraisers must understand the administrative use of the documents before they can take decisions about their retention. Secondly, they must understand the law, i.e. the statute of limitations and financial regulations, which will determine how long certain categories of records must be kept legally. Thirdly, they should understand research uses and trends.

No appraisal can be carried out without a clear understanding of the nature and characteristics of the records. Effective appraisal depends on an understanding of the organization that created the records. The appraisers must identify the organizational origin. They should know about the administrative structures and organizational histories of the agencies which created the records. They must then determine the extent, arrangement and physical conditions of the records.

Therefore, the appraisers must conduct specific research into the background of each organization whose records are being evaluated. This should be done in the course of a records survey, the aim of which is to gather information about the physical characteristics and informational content of the records. The survey should include records in active stage and those which have been retired from active use. Comprehensive information about all records of an organization provides full information about choices and

options for records disposition.

Organizational charts, schedules of duties, consultants's reports and any other documentary evidence that can be assembled will provide the appraisers with important information about the background to the creation of the records. Registers of records and file lists will help to provide information about the scope and the arrangement of the records. Appraisers should also conduct interviews with the creators or users of the records and should also carry out a personal on-site survey of the records to gain important information. Notes should be taken in order to create a comprehensive record of appraisal decisions and how they are taken.

The appraisers responsible for the final section of records for permanent preservation are normally qualified archivists who are familiar with long term research trends. Preferably, these appraisers should have academic training in history, political science and other similar disciplines. Ideally they should continue to learn as much as possible about goals, technology and problems of all information based activities. The appraisers should do wide reading and have discussiions with users of archives in order to acquire background knowledge for effective evaluation of records.[12] Therefore, archival appraisers should consistently meet the highest standard of

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[12] Ibid.,pp.58-59.

professional conduct since they are responsible for deciding whether records should be retained or destroyed. The work of the appraisers must be as accurate and complete as possible.[13]

Record appraisal can be performed by individuals or by teams. The appraisers should document their decisions, describe the characterstics and contents of the records and analyse the factors considered in appaisal decision. A complete and adequate record of decisions taken will permit review both at the time of appraisal and in the future. It is common for the appraisers to work alone; however, they should not work in isolation. Records appraisal should be subject to review and discussion by colleagues within the archival organization. It is important that the appraisers should consult with knowlegeable persons to ensure that they have all possible information for their appraisal decisions.[14]

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[13] Ibid.,p.59.

[14] Ibid.,p.58.

5.3   THE ROLE OF A RECORDS CENTRE

5.3.1   How a Records Centre Operates

What is a Records Centre

A records centre provides temporary accomodation for records once they leave the offices which produced them. The arrangement under which the records are held must be agreed between the creating agency and the records centre managers.

Whilst the records are in the records centre they can be consulted only by the angencies which transferred them. The records centre therefore must be accessible for the utilisation of the information it holds. The public is not permitted to consult these documents. Once these records are no longer needed, they are either transferred to the archives or destroyed. [15]

Reasons for Transferring Records to a Records Centre

Not all semi-active records should be transferred to a records centre. There are many considerations in deciding where semi-active records should be stored. The amount of space in the ministries, the degree of congestion there,

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[15] Duchein, M. Archive Buildings and Equipment. Op.cit. p.131.

the cost of transport to and from the records centre and the degree of delay in providing the required information should all be reviewed.[16] The records should be kept in a location which permits easy retrieval, provides adequate security and is relatively inexpensive.

Records centres do provide a number of advantages. They help to reduce storage costs by making maximum use of space and equipment and by effective use of staff. They help to ensure efficient retrieval by centralising and streamlining procedures for locating records. They can also help to ensure that established retention and disposal procedures are applied efficiently.[17]

Administration of the Records Centre

A variety of administrative arrangements are possible in the records centre. Ideally the departmental staff should be responsible for clerical work such as listing and boxing before the records are transferred to the records centre. However, in some cases the records centre staff do the listing at the centre after the records have been transferred. At the Hayes Intermediate Record Store run by the Public Record Office in England, representatives of the transferring departments maintain and retrieve their

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[16] Cook, M. _Archives Administration._ Op.cit. p.41.

[17] Ibid.,p.48.

departments records. However, at other record centres the records centre staff are responsible for the retrieval of records in the records centre.[18]

Outflow

The records centre is not intended to keep the records permanently. The outflow of records should be governed by disposal schedules and a review process. In some cases the records centre has the authority to destroy records directly under the arrangements laid down in the disposal schedules. In others the departments must be contacted again to authorise the disposal of any records, even after they have been scheduled.[19]

Transfer Instructions

The process of transferring records from creating departments to the records centre is facilitated by the issue of a brochure or set of instructions setting forth the objectives and the advantages of the records centre and how to use it. The brochure should be distributed to the transferring departments.[20] The brochure should provide instructions on specific procedures involved in transferring records. These may cover such areas as the

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[18] Ibid.,p.38.

[19] Ibid.,pp.38-39.

[20] Ibid.,p.49.

types of records which should be transferred to the records centre; instructions for arranging, listing, packing and checking the physical condition of the records; guidance in obtaining boxes and listing papers; and instructions on how to retrieve the records from the records centre.

Transmittal Lists

As the ~~the~~ transmittal lists are the principal means of control used in the records centre, care must be taken in preparing them. An inaccuracy will cause problems later when the records are being retrieved. Usually the lists are made out in multiple copies. There are a variety of ways in which these may be kept in order to maintain control. One method, for example, requires four copies, which are kept as follows: the original copy is kept in the records centre as the main finding aid; the second copy is filed in destruction-date order in the records centre to provide disposal control; the third copy is sent back to the creating agency after location details have been entered by the records centre for use as reference when records are requested; the fourth copy is made available to the creating agencies in the records centre search room.[21]

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[21] Ibid.,p.50.

5.3.2   Requirements for a Records Centre Building

Site of the Records Centre

Records centres are usually located on the edge of urban areas, on sites where land costs less than in the centre of the town. Every precaution should be taken to ensure that dangerous and unhealthy sites are avoided and planners should take care that access for lorries and vans carrying records on transfer should be easy. Existing buildings can be used, such as old factories and warehouses, provided they are secure. For the ease of handling the records, ground level buildings are more suitable than tower block respositories.[22]

In the United States, for instance, the National Archives and Records Service has considerable freedom in deciding the site. Nonetheless, there are some conditions attached: the records centre should be away from the city centre and the actual site should be on the cheapest ground available. The department should be in position to use lorries and vans to and from the centre.[23]

The Design and Layout of the Building

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[22] Duchein, M. <u>Archive Buildings and Equipment.</u> Op.cit. p.131.

[23] Cook, M. <u>Archives Administration.</u> Op.cit. p.40.

A records centre building is normally a simple one storey building designed to be functional at a low cost. Typically there are storage areas working areas for staff, and a reading area for departmental visitors carrying out research.[24]

Because the records centre must cater for regular transfer of records from the creating agencies, it must have a large reception area with a loading bay. For instance, for a records centre of 20,000 running metres of shelving, it has been recommended that a reception area about 50 metres square should be provided. A large open sorting/working area is also important. Hopefully the records will arrive sorted, but this is not always the case. In any case, the staff will need an area in which they can check transfer lists against disposal schedules.[25]

The layout of the records centre must take account of the flow of documents from the reception to the sorting area, from sorting to storage area, from storage to disposal areas. There will inevitably be continual movement of large quanties of documents, on trolleys or electrical conveyers, and the layout must facilitate this movement.[26]

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[24] Duchein, M. Archive Buildings and Equipment. Op.cit. p.131.

[25] Ibid.,p.132.

[26] Ibid.,p.133.

Equipment and Environmental Precaution

Various measures should be taken to protect the records. These include the provision of fire fighting equipment, protection against sunlight (complete or partial blacking out of windows), protection against humidity and mildew, protection against insects and rodents and protection against theft. The shelving chosen should be simple but strong. Normally metal shelving is used but if it is not available wooden shelving which has been treated to make it insect proof would be suitable so long as there are no sharp edges which could tear the documents.[27] If the records being transferred are suspected of being contaminated by insects or mould, a fumigation chamber is essential.

Destruction of Records

A high proportion of the records in the records centre will be destroyed after a specific period. Provision should be made to destroy these records in the building itself or to have them removed by specialists firms.

The following are methods of destruction which can be considered: salvage disposal, shredding, incineration, chemical destruction and pulping.

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[27] Ibid.

(a)   Salvage disposal: This involves arrangements for waste paper collection by salvage companies which pay a price for the weight of paper taken away. The service also includes security arrangements for the destruction of confidential and secret records.

(b)   Shredding: Various types of office shredders are sold, varying in size and price. They require little maintenance. A document shredder is worthwhile investment where large quanties of unwanted papers especially confidential documents have to be disposed of frequently. The shredded paper can be used as packing material or sold as waste paper.

(c)   Incineration: Special incinerators can be purchased if suitable space with satisfactory fire precautions is available. Also, a special arrangement can be made with a salvage company or outside body for the burning of confidential documents or other papers. If confidential documents are being destroyed and organizational policy requires that someone witnesses this destruction, this can be time consuming and may be very costly. However, a service organization contract provides a certificate of destruction for a truckload of records. This may eliminate the need for a witness from the department or the records centre.[28]

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[28] <u>Disposal and Retention of Documents.</u> Johannesburg: The Southern African Institute of Chartered Secretaries and Administrators. pp.3-4.

(d) Chemical destruction: Chemical destruction or maceration is the use of chemicals to soften the paper and obliterate the writing. This method also includes pulverization of records including microfilm.

(e) Pulping: Pulping is an irreversible, safe, clean, convenient and economical method of destroying confidential and secret records. The documents are mixed with water and forced through cutters and a screen. The size of the screen may vary according to the security requirements of the material to be pulped. The residue which is created is pumped into a hydra-extractor which squeezes out the water. The water is recirculated and the pulp is dumped into trailers for removal from the premises. Pulping may be done internally or by a contractor.[29]

Reference Service

Whilst the records are in the records centre, they remain the property of the creating agencies, which have the right to consult them. Other people should not be authorised to consult these records. A reading room of medium size, about 30 metres square for a repository of 20,000 running metres of shelving should be provided for departmental representatives wishing to consult the records.[30]

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[29] Ricks, B.R. and Gow, K.F. Information Resource Management. Op.cit. p.59.

[30] Duchein, M. Archives Buildings and Equipment. Op.cit. p. 133.

In addition to making records available in the records centre arrangements should be made whereby records may be requisitioned and temporarily returned to the creating agencies for their use. When records are borrowed they should be identified as coming from the records centre and the department should take care to ensure that they are not mixed up with its current records and that they are returned to the records centre. Normally a conspicuous label is attached to the records informing the user of the files where they came from; it informs the records centre on return that the records are on the books and gives the location code. There must be a procedure for issuing reminders and tracking outstanding issues. This is done by filing issue slips in chronological order. Alternatively it may sometimes be possible to send photocopies of documents to requesting departments, rather than sending original files, to minimise the danger of loss and difficulties in ensuring that the loan of records is returned.[31]

Finally, arrangements can be made whereby the creating department sends an inquiry to the records staff for them to answer. This depends on the manpower resources the records centre has to provide such a service. There should be some means of conveying the inquiry as telephone, telex or fax. It will be helpful if the records centre also maintains reference library books and an indexed file of

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[31] Cook, M. Archives Administration. Op.cit. pp.54-55.

subject enquiries.[32]

5.4 THE SITUATION IN SWAZILAND

5.4.1 The Lack of a Policy for Managing Semi-Active Records.

Swaziland has no policy on the management of semi-active records, with the result that this crucial link in the record cycle has broken down. Procedures for handling semi-active records in the ministries and departments are not uniform, effective or efficient. The registry training course provided by government does not cover semi-active records, and there is no guidance available in the form of manuals or brochures. The National Archives has attempted to do something about the situation, but the staff have lacked the skills and the influence to reverse it.

Ironically, there is a basis for a programme to manage semi-active records, but nothing has been done about it. Successive National Development Plans have noted the need for improvements in record keeping. However, the objectives of the plans in respect of the record services have not been implemented by Government. For instance, the 4th National Development Plan covering the period 1983/84-1987/88 is encouraging indeed. Had it been implemented,

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[32] Ibid.,p.55.

Swaziland's problems in managing its records should have been solved by now or at least partially solved. Among the objectives of this plan, is the establishment of a records management service for all the ministries/departments of the government. This would include the transfer on a regular basis, of non-current records to cheaper storage, the establishment of an intermediate records centre in Mbabane for sorting and temporary retention of documents, the development of a staff training programme; new and legislation.[33] If the officials had read the Development Plans they would be aware of the basic features of a records management programme.

5.4.2   Appraisal

In Swaziland the appraisal of records has never been attempted at all. There are many reasons for this state of affairs. The obvious ones are the lack of strong legislation regarding record-keeping and the lack of clear procedures. Officials are not aware of the necessity to appraise records or how it is done and thus provide no support for the registry staff.

There are no retention schedules and the registry staff simply do not know how long to keep the records in their care. Worse still, there is no one to whom they can turn

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[33] 4th National Development Plan 1983-84/1987-88. Op.cit. p.369.

to learn the legal requirements. There are financial regulations which deal with the retention and disposal of financial records such as vouchers or cash books. However, the study showed that registry staff are often unaware of their existance or are afraid to apply them. As a result the registries tend to keep all the records they create.

The lack of an appraisal policy is causing increasingly serious problems. Closed files are kept in any and every available space in the ministry. They cover the tops of filing cabinets and line the floors, often mixed up with old office equipment. During the survey it was observed that all sorts of records ranging from important policy files to ephemeral records of no ongoing value, from vouchers to estimates, all had been dumped together indiscriminately.

The results of this confused situation are that ephemeral records are kept too long while valuable or even vital records are not identified and thus are not protected; filing cabinets and office areas are congested with files which are not in active use; information needed for decision making cannot be retrieved by action officers and registry staff are disheartened.

When storage space is needed urgently, there is a tendency to transfer all the closed records to the Archives in a block. Yet the Archives itself has no policy on appraisal.

In the absence of retention schedules, it is difficult to decide what to keep and how long. Therefore, all the records which have been transferred there so far have been retained. As a result, none of the records transferred there so far have been accessioned as archives but they remain in an intermediate storage area. This situation will be discussed in subsequent sections of this chapter.

Moreover the storage space in the archives building is full. The Director of the Archives has repeatedly tried to raise funds for an extension to the archives building in order to solve the problem, not realising that the problem lay in the lack of an appraisal policy. The study showed that the present Archives building is adequate to house the archives of the nation for the next twenty years if appraisal can be carried out regularly and retention schedules applied. Only a relatively small percentage of the deposits is of archival value. To extend the archives building at this stage would be a waste of time and money.

Clearly the lack of arrangements for appraising records has serious implications both for the proper administrration of records in the departments and for the provision of research services by the Archives. Professional solutions to this problem, along the lines which have been described in sections 5.2 and 5.3 of this chapter should be given urgent priority in a records management programme as a basis for implementing effective systems for the management

of active records and the administration of archives.

5.4.3   The Records Centre

Technically, Swaziland has no records centre. However, part of the Archives building has been partioned off to form a records centre. This comprises the large sorting room and other small rooms. The records kept there have not been appraised and are gradually occupying more and more space. This has caused a considerable stress on the space available in the building.

Efforts were made by the Director of the Archives to have an intermediate depot erected in Mbabane, where the ministries/departments are concentrated, but in vain. Other suggestions to occupy the former Secretariat buildings fell on deaf ears; instead newly established ministries occupied these premises. Another attempt was made to have a records centre erected on land adjacent to the Archives building as this would not involve the cost of land. Plans for the records centre were drawn up and submitted to government for approval and subsequently for funding. The response was negative; government had no funds available for such a project.

As a last resort, the Ministry of National Resources, Land Utilization and Energy, which is also responsible for the Archives, was asked to make available the basement of its

proposed new headquarters building. However, there is no longer any hope that such a request will be granted because the Archives have not been involved in planning the new building and have not seen the plans. It will not be surprising if the basement will be used for other purposes such as a parking area for high ranking officials.

Despite the lack of response, every year when capital estimates are prepared, the Archives makes its request and reminds government about the need for a records centre. Hopefully the archives will be able to present a more convincing case in the future for there is no doubt that Swaziland needs a records centre to house its semi-active records. Preferably the records centre should be situated in Mbabane where most of the ministries are concentrated. This will ease the congestion of records in the ministries/ departments. This does not suggest that the records centre should be treated as a dumping ground. What it means is that there should be a systematic transfer of records from the departments to the records centre according to established transfer procedures. Meanwhile, the records in the temporary records centre should be appraised. Those records which are judged to be ephemeral, should be destroyed on the spot, and those which are worthy of permanent preservation should be transferred to the Archives, listed and made available for use by researchers.

Transfer of Records from the Creating Agencies to the Temporary Records Centre

The transfer of records from the ministries to the records centre began in 1978 immediately after the Archives building was officially opened. Prior to the transfer of these records, only the Secretariat records had reached the custody of the Archives. Before the records were transferred, the Director of the Archives carried out an inspection of all the records housed in the ministries including their out stations in the districts. Three types of records were identified: records which had been abandoned and were no longer looked after by any department; old documents inherited by new ministries whose functions had changed and who no longer used them; and records which were created by the new ministries after independence. Priority was given to the records left in the custody of the new ministries but which did not belong to them and to records which had been abandoned.

A considerable quantity of these records had been damaged although the extent of damage is not known. For instance, the records of Manzini Magistrate Court and Swazi National Court were found scattered in a disused building before they were rescued. The evidence that many records had disappeared can be substatiated by the gaps found in the record groups. The remaining records were transferred to the Archives.

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Damage had occurred for a number of reasons. Where space was urgently needed the records had been either dumped in disused rooms or moved anywhere where they would out of sight and out of mind of the administrators. Moreover, there was no one responsible for these records, which were often in an appalling state. The problem did not end there. The ministries grew; more records were produced; storage space was at a premium. The Archives staff were presented with the whole range of problems which they were not fully able to cope with in the absence of clear legislation and established procedures. The transfer of records from the ministries/departments to the record centre will be discussed against this background.

The first category of records were dealt with as a matter of urgency. Because these records had been placed in disused rooms, they were transferred to the Archives en bloc. The sorting of these records was done in the Archives building, where there was sufficient space, by its staff. Transmittal listing forms were designed and the records were listed. The records were put neatly into the boxes and placed on shelves in the records centre. These records formed the first consignment of records to the records centre. A copy of the transmittal list was sent to the ministry/department which had assumed responsibility for the records as evidence of the consignment.

Those records which had been created by the new ministries themselves after independence and which had remained in their custody were considered to be their own responsibility. The ministries were issued with transmittal listing forms and boxes. The registry staff were taught how to go about listing and boxing the documents. The Archives staff took this initiative in the absence of clear legislation. They had no power to compel the registry staff to complete the lists but attempted to pursuade them to do so. The registry staff did not comply fully with the request. Many were reluctant to do so as they regarded this exercise as extra work which they were not paid to do. Some tried but did a hapazard job. Finally, the registry staff were merely asked to put the files in boxes ready to be collected by the Archives staff. These records were sorted and listed in the Archives.

The Archives staff tried to work systematically, i.e. a group of records was completed before another was tackled. However, suddenly the staff would be called upon to deal with a large new deposit of records caused by a ministry's move to new premises. The Archives had no option but to accept these records which might have ended up in flames. Some ministries simply left their non-active records in their former rented offices for the Archives staff to come and collect. This confused situation formed the basis in which the records centre was and is operated.

The transmittal lists were and are still prepared in the Archives by the Archives staff according to the principles of provenance and original order which state, inter alia, that records are not only to be maintained according to their office of origin but arranged in the original order used by the office. The records are put in boxes bearing identifying labels which indicate the name of the department, description of the records and location code. After they have been numbered, the boxes are placed on shelves according to the creating departments. The transmittal lists bear the name of the department, and indicate file numbers; descriptions, covering dates and location codes. The transmittal lists are completed in triplicate. The original copy is kept by the records centre staff as a reference and finding aid. One copy is sent to the ministry/department. This serves as a permanent record and evidence that the consignment was sent to the records centre. The triplicate is filed in the records centre as a permanent record of the deposit.

Reference Service

The Swaziland records centre does provide a reference service. The departments request files for reference purposes in writing or over the telephone. When the requests are received, the transmittal list is consulted as a finding aid. The records issued to the departments are entered in a request register. The register is divided

into the following columns: file number, description and shelf number. On the opposite page information about the loan is provided: issuing officer, date of issue and name of departmental representative. Because of the proximity of the ministries, the records are either collected by the representatives of the ministries or, in the case of written and telephone requests, delivered by the Archives messenger. Telephone requests are made only when the records are needed urgently by a senior civil servant or by a court of law, but such requests are rare.

When the records are sent to the departments, there is no distinguishing label to identify them as having come from the records centre. However the records centre does place a cardboard dummy in the location from which the files have been removed. On the dummy, the staff record the name of the department, reference and sometimes the expected date of return. The dummy helps to ensure that the records are placed in the right location on their return. Other services provided by the records centre for the departments include photocopying, telephone, reference services, access to a reference library and copying of old photographs.

Management of the Records Centre

As the existing records centre is managed as part of the Archives, the management issues affecting it are discussed in Chapter Six.

CHAPTER SIX

INACTIVE RECORDS

6.1   **ARCHIVES MANAGEMENT IN THE CONTEXT**

              OF RECORDS MANAGEMENT

This chapter is concerned with inactive records which have been selected as worthy of permanent preservation as archives. In the context of modern government the effective management of archives as a record of the nation's past and a resource for research of all kinds is only possible if the earlier phases of the record cycle have been well-managed.

The situation in Swaziland illustrates this point clearly. The Government of Swaziland has built a well-designed building and equipped it efficiently. It has trained a team of archivists, and the archivists themselves have made every effort to provide a useful service. Yet there are very few records available to researchers and Swaziland still lacks an efficient archive service. A whole range of improvements are needed, as will be discussed in this chapter, but the fundamental and overriding problem is that Swaziland's records have not been managed in the active or semi-active phases. So long as the creating departments continue to create records haphazardly without controls or guidelines, so long as there are no criteria for appraisal

and no consistent procedures for the regular transfer of records from the creating agencies to the Archives, archive services will remain underdeveloped.

This chapter explores the components of an effective archives service and reviews the situation in Swaziland in terms of the attempts which have been made to provide services and improvements. It examines the Swaziland Archives Act of 1971 in terms of the powers it provides and the degree to which it has been implemented. It reviews the processes of accessioning, arrangement and the preparation of finding aids. It also looks at the provision of technical services and search services. It describes the archives building and its equipment and it evaluates the management of the Archives.

6.2   THE SWAZILAND ARCHIVES ACT OF 1971 AND THE
ROLE OF THE NATIONAL ARCHIVES

The Swaziland Archives Act of 1971 provided for the care, custody and control of public archives. It established the National Archives and empowered it to preserve documents accumulated in government or local authority offices during the conduct of the affairs of the office and which were not required to be dealt with otherwise than in accordance with the Act. It also created the post of Director of the National Archives and defined his powers.

The Director's powers, as set out in the Act, are not dissimilar to those granted to directors or chief archivists by acts passed elsewhere in Commonwealth Africa in the 1960s and 1970s, including Zambia, Ghana and The Gambia. For instance, the Director may regulate the conditions under which members of the public may inspect archives, may make copies of archives for people authorised to carry out research and may acquire by purchase or donation or on loan any document which has historical value.

In common with the other African archives acts of its period, the act makes no specific provision for the management of semi-active records, nor does it define the responsibilities of the creating departments. However, significant powers are reserved for the minister responsible who may after consultation with the Director of the Archives make regulations for carrying into effect the purposes and provisions of the Act. These include the inspection and destruction of archives under the Act and the transfer of archives from government offices or the offices of public authorities to the National Archives. The minister also has the power to prescribe the age at which records should be transferred to the Archives or to grant permission for archives to remain in the custody of an office which wishes to retain them.

While a more comprehensive act aimed at providing an efficient record-keeping service in all phases of the

record cycle would give force to a records management programme and is considered in Chapter 7, the provisions of the present act could provide the basis for a much more effective programme if the minister's powers to regulate the transfer of records to the archives were effectively utilised. At the time of the passage of the act the archives came under the Deputy Prime Minister. However, no regulations none were issued, and none were issued subsequently when the Archives was moved to become the responsibility of the Minister for Natural Resources, Land Utilization and Energy.

The lack of regulations has meant that the Archives staff have been working with the ministries to secure the transfer of their records to the archives with no clear guidelines and that the ministry staff do not believe that they have any obligation to transfer records to the Archives or to defend their reasons for not doing so. In these circumstances, the ministries tend to send ephemeral material, which they would like to get rid of, to the Archives and to retain records which they consider important. For instance, the Attorney General's Office has refused to send records to the Archives on the grounds that there is no legislation which compels it to do. No records of public enquiries have been transferred to the Archives despite the Director's attempts to ensure their safety there. Nor are the files created in the confidential registries ever transferred. The Act makes

no reference to the records of traditional Swazi administration. The traditional authorities and the Archives staff have interpreted this to mean that these records may not be transferred to the Archives. However, again this is a matter which should be classified by the introduction of regulations.

This raises important questions about the role of the Archives. If it is to preserve an accurate record of Swaziland's history and to protect the accountability of the state on behalf of the people of Swaziland it must be in a position to protect records of national significance. At present it is not able to do so. Instead, as is the case in many third world countries, the Government decides what the people should see and know. There is a fear that researchers may be able to have access to records about how the government operates. The ministries are not aware of or do not have faith in the Section of the Act (8.2) which empowers the Director of the Archives to close, in consultation with minister, any records in his care which would or might constitute a breach of good faith on the part of the Government or on the part of the persons who obtained the information.

The lack of regulations has also inhibited the Archives staff from destroying any records at all, with the result that the Archives building is over-flowing with ephemeral material. While the Act is very vague in this area, it

does empower the minister to issue regulations on destruction, and this has not been done.

All of the archives procedures which are considered in the sections which follow should be considered in the context of this lack of clarity about the role and the powers of the Archives.

6.3   ACCESSIONING

6.3.1   Accessioning Process

Accessioning is defined as the process of transferring records to an archival institution where they will be cared for and be made available in accordance with agreed policies. Records should be accessioned to the archives repository when they are no longer needed for organization's current business. Care should be taken that records are not accessioned too early; otherwise the archives will assume the function of a records centre. On the other hand, there may be documents, particularly printed series, which can be consulted for research purposes immediately and should be transferred as early as possible. There may also be times when records should be transferred to the archives at an early stage for their physical protection.[1]

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[1] Managing Archives and Archival Institutions. Op.cit. pp.64-65.

Records should normally be acquired in their original physical form. The form itself is part of their special value as evidence. This applies even when the records are too fragile to be reproduced to researchers in their original form.[2] However, there will be instances when documents can only be acquired in the form of paper, or microfilm copies and although less satisfactory as a record, these copied documents are still of value. The accessioning of electronic records presents a whole range of issues which are beyond the scope of this thesis.

Records transferred to the archives must have written documentation as part of the accessioning process. The archival institution should ensure that a dossier is compiled for each accession. This should include information regarding the offer of the records, the appraisal conclusion and the conditions concerning transfer of records. The legal status of the records should be defined and in the case of private records there should be clear evidence of the transfer of ownership to the archives or if the documents are on loan, the terms of the loan. Finally a receipt recording the physical transfer of the records should also be included in the dossier.[3] The transferring institution or the donor of the records should be given a record of the transactions. The record will enable the institution or the individual to trace and

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[2] Ibid.,65.

[3] Ibid.,p.65.

identify the archives in future.[4]

The consignment should also be recorded in an accession register maintained by the archives repository. The functions of accessions register are as follows:

(a)   To record clearly the provenance, i.e. where the records have come from and where they were created.

(b)   To provide a record of transferrer of the archives.

(c)   To initiate control procedures within the archives.

At this juncture, the consignment should be allocated an accession number by which it can be identified and the location of the consignment should be written on labels on the boxes. Ideally this should be the number by which researchers will retrieve the records, but this will only be possible if the records have been arranged and described before they are accessioned. If this has not been done they will have to be given a running accession number for control purposes, and the archival classification number will be assigned later.[5]

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[4] Cook, M. <u>Archives Administration: a Manual for</u>
<u>Intermediate and Smaller Organisations and for Local</u>
<u>Government.</u> Kent: W.M. Dowson & Sons, 1977. p.101.

[5] Ibid.,p.100.

Before the records are transferred to the repository basic preservation measures should be taken. The consignment should be fumigated if possible so that the records will not contaminate the storage area and to prevent further deterioration of the material. The archives staff should also do any necessary cleaning, unfolding and repacking.

The whole process of accessioning can be monitored on a card or a sheet which contains an analysis of the principal steps in the accessioning progress. The work card should enable people working in the archives to see the stage each consignment series has reached, where it is, and what remains to be done. [6]

6.3.2   Accessioning Records in Swaziland

The transfer of records to an archives presupposes a mutual trust and a cordial relationship between the archives and the creating agencies. In Swaziland such a relationship does exist to a limited degree. When the archives service was established, the Archives staff took a lead in establishing this relationship by carrying out the inspections ln the ministries/departments as described in Section 6.4.3. The ministries became aware, and in fact came to expect, that they could transfer records to the Archives when no longer needed for current business. The staff in the open registries took of the opportunity to

[6] Ibid.,p.102.

transfer their records to the Archives for a number of reasons. Their registries had become congested with inactive records and by transferring them to the Archives they had more space for records needed for current business. The ministries made savings in storage equipment and the retrieval of records was made easier. This was achieved even though no clear regulations were in place under the 1971 Act. This was indeed significant achievement and marked a good beginning for the Archives.

Nonetheless, officials of the ministries continued to hold onto those records which they considered to be important enough to be classified as secret, confidential and of a sensitive nature. Although the Archives do not know the state and nature of these records, it is known that they exist in significant numbers. Whenever a group of records is arranged and described, there are always some gaps in the record-series. When the officials are asked about these records they simply reply that such records were never intended to be accessioned to the Archives because of their nature. So long as the law is silent about these records, the history of the nation will never be complete.

When records are transferred to the archives, there is no process of appraisal; there are no retention and disposal schedules. Therefore, the records are accessioned to the Archives en bloc. This means that at a later stage when the legislation has been amdended or regulations issued the

records in the Archives repository will have to be appraised.

Accessioning of records in Swaziland is carried out without laid down rules. There are no procedures in place; hence the archivists and ministries use their discretion as to transferring records. The Archives staff do not regularly monitor the registries and often are faced with a situation whereby they receive records with no advance warning. As a result, the records tend to remain on the floor for a considerable time before they can be sorted and accessioned. Even then there is no space available on the shelves to store them.

6.4 ARRANGEMENT AND DESCRIPTION

6.4.1 Arrangement

The archivist has an important responsibility for arranging and describing archives in accordance with the principles of provenance and original order. We shall, therefore, discuss these principles, which have been adopted by many contries.

The Principles of Provenance and Original Order

The Principle of provenance means that all records which originated within any particular institution are to be

grouped together. The definition of provenance given in the International Council on Archives Dictionary of Archival Terminology is:

> (1)   The agency, institution, organization or individual   that   created,   accumulated   and maintained   records , ~~(t)~~ archives ~~(s)~~ in the conduct of its business prior to their transfer to a records centre/archives.[7]

Thus the archives of a government office or any institution should be regarded as an entity. The internal divisions of this archive will reflect the internal organisation of the creating organisation. This principle was developed in France and refined by Dutch archivists.[8]

The principle of original order states that an archival collection should be systematically arranged based on the arrangement adopted by the organization that created the records. The Dictionary of Archival Terminology defines original order as follows:

> Correspondence despatched by an agency, institution or organization and sometimes maintained in separate series.[9]

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[7] <u>International Council on Archives</u>. ICA Handbook Series Vol.7. Munchen: K.G. Saur, 1988. p.125.

[8] <u>National Diploma in Archival Science. Op.cit. p.7.13.</u>

[9] <u>International Council on Archives.</u> Op.cit. p.111.

The Dutch archivists who refined these principles explained them by likening an archival group to an organic entity in the sense that any living multicellular organism has developed by the process of growth from a single cell and reached maturity. Each organism has a particular form and a specific function to perform; together they constitute a whole. Similarily, each archives group develops from a single document i.e. the first document received by the office. As the office grows, its records grow. If new sections are created, that will later be noticeable in the archives. Each archival group has had its own individual pattern of development which gives it its own unique character. The task of an archivist is to retain this order and not to disturb it. Where it has been disturbed, he should restore it. Therefore, the first duty of the archivist is to study the organization and the functions of the office that created the archives.[10]

6.4.2   Description

When archives have been arranged they must be described. Description is the process of establishing intellectual control over archival holdings through the preparation of finding aids. Finding aids are the signposts which help the archivist and the researcher to identify the information they are seeking. They are the key to making the archival collection accessible. As far as possible the

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[10] National Diploma in Archival Science. Op.cit. p.7.15.

archivist should analyse the records in terms of their
research potential and attempt to achieve the most helpful
level of description. Finding aids may take the form of a
guide, a simple list, a more detailed list, a calendar, or
an index. However, whatever the form, they should be
appropriate in content, concise in length and consistent in
format.

Guides

There are various types of guides. Some guides focus on a
particular category of records, for instance the records of
a particular department or group of departments or records
relating to a particular subject area. They may relate to
records holdings in several institutions.

Other guides provide information about the total holding of
an archival institution. Such a guide should convey
essential information about provenance and content to the
user. It should also provide a co-ordinating overview of
the finding aids and descriptive systems in use in the
archives repository. It should enable the user to identify
the lists needed to find the records required.[11]

General guides to archival holdings tend to have several
basic components. First, they provide an administrative
history of the record creating departments, their

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[11] Cook, M. _Archives Administration._ Op.cit. p.122.

organization and principal functions and any changes in the
function over the years. Secondly, there should be a broad
description of the records themselves focusing on archive
or record groups and series. Normally the guide will
provide five basic categories of information about each
record series: a title phrase, a reference to the covering
dates of the series, an indication of the quantity of
records in the series, a description of the physical
arrangement of records in the series and a summary of the
informational content of the series.[12] The final element
in a general guide is an index.

The Process of Arranging Records

The archivist begins by sorting from the broadest category
of records in the consignment to the most specific. Thus
if the records of several agencies are mixed together, the
first step is to separate the records by provenance. The
records of each agency should then be sorted according to
the administrative structure of the agency. The records of
each department of the agency should be identified and
sorted into the series it created. The arrangement should
conform to the filing system adopted by the office, whether
this is chronological, geographical or by subject. The
archivist should ensure that the volumes are in correct
sequence according to the existing order of arrangement.
In this way, the archivist merely reconstructs the original

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[12] Ibid.,p.122.

filing system.[13]

To ensure that the series is complete, the archivist may decide to compile a rough list. The list should indicate all the information that will later appear in the final list such as description of items and the covering dates. This list may be used to establish whether any of the volumes are missing and for which period.

After arranging the series, the archivist examines each item very carefully. He determines whether there are any missing documents or misplaced documents and examines the physical conditions of documents, i.e. he ascertains whether they are torn, stained or faded. He ascertains whether there are photographs, maps or publications which must be removed to be handled specially and decides whether there are documents which should be withdrawn from public consultation in terms of the archives act or any other law.[14]

Lists

The purpose of a list is to facilitate the immediate use of the archives by helping users to identify individual items. Normally each list relates to a record series and is preceeded by an explanatory introduction which tells the

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[13] National Diploma in Archival Science. Op.cit. p.8.6.

[14] Ibid.,p.8.7.

user where the series came from and gives some facts about its origin, contents, size and physical character. The list itself provides an item by item description of the records which may be more or less detailed according to nature of the items, the degree of use likely to be made of them and staff available at the archival institution. For heavily used series or series whose nature makes them difficult to use, an index, a list of contents or key to the construction of the series and its components may be warranted.[15]

6.4.3 Arrangement and Description of Archives in Swaziland

The Swaziland Archives have not been properly arranged and described according to the principles of provenance and original order described above. The reason is not hard to find. The records have not been appraised and they include a large quantity of ephemeral material. The records have been roughly arranged and described, but to complete the work to archival standards at this stage would be putting the cart before the horse. Surely it would be time consuming and worthless effort as the process will have to be done all over again once appraisal has been carried out.

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[15] Ibid.,p.8.9.

Moreover, the establishment of the records centre in the Archives building has an adverse effect on professional archival activities in the Archives. The archivists, instead of going about the work for which they were trained, have concerned themselves with the records centre. As a result, archival work has been almost entirely neglected while work on the backlog of records held in the records centre proceeds.

The problem will continue until arrangements are made for the introduction of regular appraisal procedures. The application of retention schedules and an effective reviewing policy will ensure that only records with archival value reach the Archives. It will then be possible for the archivists to get on with the professional activity of providing finding aids to make the records accessible to researchers.

The only records which have been fully described are the Secretariat records which form the core of the Swaziland National Archives. However, even here the accepted international principles for arrangement and description have not been met. The records were arranged and listed in 1950s in the old Secretariat building and transferred to the Archives in 1977. The Secretariat records were arranged alphabetically by subjects and then chronologically rather than according to the principles of provenance and original order. No appraisal was carried

out. The Secretariat records were listed in an accession book and this list is not easily understood by the researchers without assistance from the staff. Moreover, it takes time for the staff to retrieve the required information because the files are not in their original order in the boxes. Perhaps if the list was indexed, it would facilitate easy retrieval. There are plans to re-arrange the documents in a more logical way and it is hoped that after this exercise will benefit researchers and archivists alike. However, this will inevitably cause its own problems as many researchers have already made reference to the records in their present arrangement.

The other groups of records which were received in the records centre were arranged according to the filing systems followed by the originating registries and listed on transmittal forms. These lists form an inventory of the records transferred. They indicate the file numbers, contents and the covering dates. The Archives keeps two copies. One copy is used as the finding aid for departmental representatives consulting the records in the records centre and the other forms a permanent record and is filed securely. A third copy is sent to the issuing department where it is retained as a record of the transfer. The transmittal lists are not available to the public.

The Swaziland Archives has not prepared any guides. The staff are being pushed to do so by the Internation of Council on Archives which is keen to have this project completed. But this is not possible until the records are appraised, arranged and described.

6.5   TECHNICAL SERVICES

Because archival intitutions have a responsibility to preserve and make available their holdings, they normally have facilities for repairing and copying documents. The Swaziland Archives has no facilities at all for carrying out conservation. There is a bindery, by no binding is undertaken because the binder in not fully trained and because the records are not arranged so it would be counter productive to bind them. There is a working photocopier, but the microfilming equipment which was purchased some years ago is no longer working. Apart from microfilms, no filming has even been done because the records have not been appraised or arranged in their permanent order. The Swazi Bank did borrow the microfilm equipment from time to time.

6.6   SEARCH SERVICES

Archives holdings are normally made available to users in a searchroom where the users may consult the finding aids and read records under supervision.

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In Swaziland the archives repository is supervised by the senior archivist who deals with researchers directly. However, only a few researchers consult the archives. These are mainly post graduate students, or undergraduate students carrying out specific projects. A few technical experts use the records. The reason for the small number of researchers is partly the lack of publicity about the archives service and partly the fact that the holdings available for use are very limited. When a researcher wants to consult the archives, he fills in an application form, gives details about himself, the nature of his research and the institution which he represents. He must also provide a letter from that institution. When the application has been approved by the Director the reseacher is taken to the library which is also used as search room. He is given the accession book containing the list of the archives of the Colonial Secretariat. In case of published and printed material, the researcher consults the relevant catalogues and index cards. The librarian helps supervise the researchers whilst the archivist provides them with the information they need.

Researchers using the search room must sign the visitor's book and leave their possessions and other papers except writing pads in the reception room. Smoking, eating, marking documents or disturbing their original order and making noise are prohibited. The researchers may purchase photocopies of documents. The staff cannot be hired for

private research.

The researcher lists the required documents on a borrower's slip. At the end of the day, the archivist checks the documents against the slip and the records are returned to the strongroom. The slips are filed and the information contained therein is used to compile data at the end of the year. Every year the Archives submits an annual report, which includes this data, to the ministry's headquarters to be used as part of the ministry's annual report.

6.7   THE ARCHIVES BUILDING

6.7.1   Location of the Building

According to Michael Duchein, an archives building should not be erected in an area where there is a likelihood of landslides, dampness, swampiness, flooding, termite infestation, etc. Sites with dangerous surroundings such as those near factories with air pollution or near strategic targets, i.e. air fields, military targets or major railway centres, should also be avoided at all costs. Other sites which should be avoided are those near a source of noise or other disturbances, sites which will prevent the extension of the building and sites which will prevent easy access to the building.[16]

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[16] Duchein, M. Archives Buildings and Equipment. Munchen: Verlag Documentation, 1977. p.22.

The Swaziland National Archives building is situated about
18 kilometres from the capital, Mbabane, and is adjacent to
the Houses of Parliament and the National Museum. The land
was donated by King Sobhuza 11 as the site for a cultural
centre including the Archives. Although the first Director
argued quite rightly that the building should be erected in
Mbabane, he was overruled as the King's decision could not
be rescinded. The site complies with international
recommendations except that it is very far from the capital
town.

6.7.2   Design and Layout of the Building

An archives building should normally comprise storage
areas, working areas and areas open to the public. The
working areas normally include offices for the staff and
areas for sorting, fumigation, conservation, binding and
photography. The public area must include a search room
and a reading room, which can be combined and often there
is a provision for an exhibition room and a reference
library.[17]

Swaziland is fortunate that a purpose-built archives
building was constructed in its formative years. The
building was designed to house and make available the
inactive documents of the nation. It is very well laid
out. Provision was made for storage areas, comprising a

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[17] Ibid.,p.28.

secure repository with three strong rooms, a special map storage area and a room for storing pictures; working areas, including staff offices, a staff common room, loading bay, sorting area, fumigation chamber, photographic studio and binding; and public areas comprising a search room, reference library, an exhibition area and the Hall of Monarchs, which is an entrance area decorated in honour of Swaziland's kings.

Circumstances have dictated that the building is used differently than was originally intended. The sorting room has been converted into a temporary records centre and the pictorial room into a sorting room. The reference library is also used as a search room. The staff common room has been converted into a big office to accoummodate four officers. The Deputy director's office is shared by two senior officers. Fumigation equipment has never been acquired, and the fumigation chamber is used as an office. Likewise, the photographic studio is used as an office for the Photographer, and the bindery room serves as a storage area for the microfilm equipment as well as the office for the Bookbinder.

The three strongrooms are still used as was intended. The largest is the main archives repostory; the medium sized one houses confidential and important documents transferred from the Deputy Prime Minister's Office when that office was abolished, as well as medals; the smaller strongroom

houses secret and sensitive documents which have been stored there by top government officials. The Director of the Archives does not have a key to this room and does not know what it contains. The strongrooms, which were designed for the protection of documents, are separated from the rest of the building by thick walls and strong doors which are fire-poof. There are no windows. The public has no access to these areas. The archives repository is located near the search room so that files may be retrieved and brought to the researchers without delay.

6.7.3   Equipment and Furniture

The building is generally well-equipped and furnished. The main strongroom is fitted with mobile shelving, wall fans, air conditioning and a fire detection system. The other strongrooms have free standing steel shelving and fire detectors. The library is also fitted with mobile shelving. The mobile shelving, fitted in 1976, has never caused any problems. The photographic studio is well-equipped with modern cameras and dark room equipment, but this equipment is rarely used for the work connected to the Archives. Bindery and microfilm equipment were supplied when the building was opened but are not in use.

The Exhibition Gallery houses documents and objects depicting the national heritage. In the Hall of Monarchs,

there is a cloth woven in Portugal showing the Swazi Royal
family tree. This was presented to the Archives as a gift.
In the middle of the hall stands a statue of King Sobhuza
11, and there are sofas donated by the British Government.

6.8   MANAGEMENT OF THE SWAZILAND ARCHIVES

6.8.1   Staffing

There are five professional staff. The Director was
trained in South Africa and this thesis is the product of
his post graduate training in London. Three of the
archivists were trained in Ghana and one in London.
Together they would be able to carry out all the
responsibilities involved in administering an archives, but
they are too few to adequately manage Swaziland's semi-
active records, particularly as the ministries play no role
in this procecss. There is also a professional librarian.

The support staff, on the other hand, is in excess of
requirements for the present operations as was noted by the
Management Services Unit after a recent investigation.
During the 1980s when there was a tendency in the Civil
Service to find posts for people who needed them,
regardless of whether the posts could be justified, the
support staff at the Archives increased significantly.
There is an assistant accountant, a photographer, a
clerical officer, a bookbinder, a driver, a typist, a

groundsman, three day security guards, a telephone operator, a messenger, cleaners and nightwatchmen. The total staff complement is twenty five. A number of these people have no real function at all.

The Director of the Archives has made repeated requests that the staffing level be increased; but to no avail. At the same time the Management Services Unit's recommendation for a reduction in staff has also been ignored. The functions of the Archives and the staffing level needed to carry them out should be related to one another after a thorough review.

6.8.2   Budget

The Archives has its own vote, which is controlled by the Director without interference from the ministry headquarters. The department's current budget provides for expenditure under the following heads: personnel costs, communications, consumables and durables. The capital budget is dealt with if and when a capital project has been approved for a particular year.

The Archives derives many advantages from controlling its own budget. New plans are implemented without having to wait for a green light from the Permanent Secretary; money can be transferred from one head to another without causing over expenditure; and the Director can use the funds to

send an officer to attend a conference or seminar at short notice.

The Swaziland Archives is better funded than the archives in many other African countries, for instance those English-Speaking West Africa. This is to a large measure a result of Swaziland's overall economic position. The economy is generally well-managed, with minimum corruption and is linked to that of South Africa. Many South African companies have opened branches in Swaziland. Moreover, companies which were prevented from operating in South Africa by the imposition of sanctions have found their new home in Swaziland. Hence, the shortage of commodities experienced in Africa has never been a major problem. The Swaziland Archives, like other government offices, does not have problems in meeting its basic running costs, and its offices are well-furnished.

However, there is a serious problem. Archives is trying to carry out a dual function. In addition to running the archives repostory, it is in effect trying to run a records centre and associated activities. This has implication not only for staffing and supplies, but for building requirements. While the study has demonstrated that the Archives building is adequate for many years to come, a new records centre is definitely needed. The budget implications will have to be explored.

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CHAPTER SEVEN

CONCLUSION

7.1   OVERVIEW OF THE PROBLEMS OF MANAGING RECORDS

         IN SWAZILAND

The study shows that problems exist in managing records in each phase of the record cycle. An examination of the history of record-keeping in Swaziland has revealed that no clear answers to these problems have ever been developed in Swaziland. Active records tended to be well kept in the colonial period, but as there was only one registry in the Secretariat there was no need for a manual for the registry staff nor were there instructions on disposal of records. No arrangements were made for the care and custody of archives. After independence when government became more complex and the number of records increased steadily, there was little basis for an efficient records management programme. The resulting problems have an impact on every area of administration in Swaziland.

In the active phase there is a marked lack of well-defined systems and procedures. With little control over records creation, unnecessary records are produced and information is duplicated. The lack of efficient procedures for mail handling results in delays in papers reaching action officers. The problem is compounded by the break down of filing systems, which have become inefficient and confusing. Papers are misfiled,

several files are opened on the same suject and file titles are vague. The registry staff do not index file tiles or track file movement. All this means that information is not available to the administration when it is needed. There is an urgent need for a registry manual providing clear guidance on all areas of registry procedures. The records centre is now full. The need is for developed guidlines on appraisal, retention schedules, regulations to give force to the Archives Act and a fully developed records centre.

With regard to semi-active records, the lack of any policy on appraisal has meant that all records have been kept, the ephemeral mixed up with the valuable. Although the Archives Act gives the power to set regulations governing the disposal of records to the minister responsible for the Archives, none have been drawn up. The result is that large quantities of semi-active and inactive records are taking up valuable space in the registries. Technically Swaziland has no records centre, but the Archives has tried to relieve the problem by bringing as many records as possible into an area of the Archives building which now functions as a temporary records centre. However, as the Archives staff have no idea of what to keep or for how long, almost no records have been accessioned to the Archives. The records of the colonial Secretariat have been arranged and listed but not according to archival principles. Some records of the departments which grew out of the Secretariat have been brought to the Archives and some of these records are thirty or forty years old.

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However, none of these records have been accessioned as archives.
Archival arrangement and description cannot be undertaken until
appraisal has been carried out. Many more records await transfer
to the Archives in the ministries and the disctrict headquarters,
but the repository is full. No records of the Swazi traditional
administration other that court records have been transferred to
the archives because of the lack of regulations on their status.
Previously it was believed that the Archives repository needed
to be extended to house the records selected as archives.
However it is now clear that there is enough space once appraisal
has been carrried out.

7.2   THE NEED FOR AN INTEGRATED APPROACH TO MANAGING
         THE RECORD CYCLE

However, those efforts which have been made have attempted to
solve the problems piecemeal. No effort has been made to achieve
an integrated solution with the result that record services are
in a shambles. Swaziland's records are uncontrolled and
management has lost confidence in its records personnel. The
records personnel are disillusioned and afraid to approach the
Government. Swaziland needs to introduce a new integrated
approach to managing the record cycle.

Records management is a support function which involves planning,
organization, monitoring and control of records and records
procedures through efficient and effective classification,

storage, retrieval and application of agreed retention or disposal
schedules. This covers the management of the total record cycle,
i.e. the records in the registries, the records in the records
centre and the records in the National Archives. A new approach
is needed to integrate the active, semi-active and inactive
record services by developing a set of co-ordinated procedures
and systems for managing the records. At present no effort is
being made to understand the connection between these services.
A new integrated approach would aim at integrating these
functions, procedures and systems. To achieve this objective,
the support of top management is essential. Given the lack of
support for changes in record services in the past, the approach
most likely to lead to real change is a national inquiry. This
thesis has raised problems and analysed various possible
solutions. A National inquiry could evaluate the evidence and
draw conclusions to guide official policy.

7.3   A NATIONAL INQUIRY INTO THE MANAGEMENT OF
**   RECORDS**

7.3.1   The Need for a Royal Commission

A National Inquiry into the management of records in Swaziland
would be most effective if it were set up by the head of the
state as a Royal Commission on Record Services. Once sanctioned
by the Swaziland Monarch such a commission would have the status
necessary to carry out a meaningful investigation, and its
recommendations would be taken seriously by the Government.

7.3.2   Terms of Reference for the Commission

The Royal Commission should inquire into record services at all phases of the record cycle and make a report to Government giving specific recommendations on the systems required and the management structure required to support them.   The inquiry should look into specific problem areas identified in this thesis.   These will include the registry systems presently in use, the systems required for an efficient registry service and the need for a manual to provide guidance to registry staff and user; standards for the appraisal of records in all the phases and the need for retention schedules; the need for a records centre, the requirements for a record centre building and the relationship between the records centre and the record creating departments; the improvements needed to provide an effective archives service.   The Commission should consider the present arrangements for managing record services, the arrangements which would be required to achieve the objectives of a successful records management programme and the staffing and training implications. Finally, the commission should review the Archives Act of 1971 and propose appropiate changes in the legislation which would be needed to give force to a records management programme.

The Commission should comprise representatives of the Management Services Unit of the Ministry of Labour and Public Service, the Swaziland Institute of Management and Public Administration, the University of Swaziland and the National Archives.   Specialist

advisers should be consulted from such areas of Justice and the Ministry of finance. A consultant could be invited at a later stage to help implement the recommendations of the report

7.3.3 Considerations a New Management Structure for Record Services

The Commission should give particular attention to the management structure required to support integrated record services. There are various options to be considered. One is that the Archives and Records Centre could be under one administrative authority and the registries co-ordinated under another administrative authority, with some means of co-ordination established to facilitate consultation. Another is that the registries and the Records Centre/Archives could be brought under the Mininstry of Labour and Public Service or central agency such as the Prime Minister's office and be placed directly under the control of the National Archives. This is the path taken in Botswana as a result of a Cabinet decision. A third option is the establishment of the National Records Service which would cater for the development of professional and technical systems and skills involved in managing records from their creation to their disposal or their preservation as archives. The National Archives would become part of the National Record Service. The Records Service could be placed under the Ministry of Labour and Public Service or another appropiate agency. There could be a Director of the National Record Services assisted by Deputy Directors responsible for the registries and for the Records

Centre and Archives. This approach would be the most likely to facilitate an integrated system.

The Commission would need to look into the staffing implications of the proposed structures. It should examine the possibility of creating a scheme of service which would operate in conjuction with the scheme for Clerical and Executive classes. Such a scheme could lay the basis for an integrated National Records Service. The present staffing of the registries and the Archives should be thoroughly reviewed as a basis for its recommendations. Certain posts many become redundant while some new posts will have to be created. The objectives of the scheme of service would be to attract people with appropriate abilities, ambition and integrity by offering a well defined career structure in the records management field. It should ensure uniform standards, procedures and quality of work for an efficient and effective records management support service through the civil service, and it should prescribe realistic qualification requirements, i.e. educational, training, and promotion criteria, in order to maintain professional standards.

In addition the Commission should also look into the training implications of a record mangement programme. There is a need for the training for registry staff at all levels. There is also a need for training to make the management aware of what records management is, what benefits it can bring and what will be required if significant results are to be achieved. Other areas to be considered will be the training for archivists and records

managers. Training abroad should be supplemented by in-service training. The training for all personnel at all levels should take into account the neeed for an integrated approach.

7.3.4   Legislation

The Commission should review the Archives Act of 1971, the powers which could be developed in the short term through issuing regulations and the longer term need for more powerful legislation to support a full records management programme. Consideration should be given to arrangements for the establishment and inspection of the standards of registry services, the appraisal of records and implementation of retention schedules, the transfer of records to intermediate storage, the destruction of records without ongoing value, the selection of archives and the provision of archive service. Arrangements for handling the records of the Swazi monarchy and related institutions and for handling private records should also be examined.

7.4   IMMEDIATE DEVELOPMENT PROGRAMME

It is anticipated that a new integrated approach to managing records will take time to be formulated and implemented. Meanwhile, arrangements should be set in motion for the Archives staff to process the backlog of semi-active and inactive records both in the registries and the records centre. Ephemeral material should be destroyed immediately. This will involve the

co-operation of the ministries and their registry staff. It is hoped that the registry staff will be introduced to the process of appraisal and of arranging and listing records even before the establishment of the new integrated approach. In order to facilitate this operation, regulations for the transfer of records to the records centre and for the destruction of records without ongoing value should be issued by the minister responsible for the archives as early as possible.

This operation, along with the initiation of arrangements for a Royal Commission on Record Services should bring new hope and energy to the records personnel in Swaziland who have been so demoralised for so long. An honest recognition of the problems and legal support for their solutions should mark the beginning of a new era of record services for Swaziland.

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OPERATORS

- How many files approximately do you open in a given calendar year?

- Are there any written policies and procedures for registry staff?

- If so, are the procedures followed?

- Are records filed/indexed regularly and consistantly?

- Is duplication of records on files avoided as much as is possible?

- Is there a file tracking system?
- When last did you transfer records to the archives?

- What is the age of your earliest document?

- Where and how are closed files stored?
  ....
  ....
  ....

- When are records closed? Please tick where appropiate.

  e.g.   • After 5 years
             • .....10 .....
             • or when files become bulky

- How old is most of the information in the closed files?

- Is any inventory of closed files?

SUPPORT STAFF WHO HANDLE
CLASSIFIED INFORMATION

- Is unauthorised access to classified information?

- Are suitable storage facilities and conditions available for documents?

- Are loan procedures in place for classified documents?

- Is duplication of classified documents/information restricted?

- Can all information storage facilities be secured and lockable?

- Are procedures in place for handling materials e.g. drafts and printed ribbons used in the preparation of classified documents?

- Are closed envelopes used in the transmission of classified documents?

- Is unauthorised duplication of classified documents possible?

- Can classified documents be removed from the ministry's premises without authorization?

- Is the classified information received from the third parties properly safe guarded?

- What action is to be taken in the event of classified being lost, mislaid or stolen?

- What action is to be taken against staff who neglect information security measures?

- How is the exchange of classified information over telephone is to be controlled?

JUNIOR MANAGEMENT

- Who may create records?

- Where are records created?

- When are they created?

- Do users open files without the knowledge of the registry?

- Do secretaries act as registry substitutes?

- Is there any backlog of semi-active files in the ministry?

- Do registry staff get discouraged, hide files and information?

- Is the retrival of information a problem? Have you observed that it is getting worse?

- In your opinion what should be done about problems in the registry?

- How is the organization structured?

- What work is being carried out?

- Are the lines of authority clerly defined?

- Is the work divided evenly and logically?

- Are responsibilities delegated to the lowest level possible?

- Do you get the files you need when you want them?

  If not, what do you do?

- Are papers filed accurately?

- Do registry staff consult you about file titling?

  Do you inform the registry when you need a new file opened?

- Do you inform the registry when you pass files to your colleagues?

SENIOR MANAGEMENT

- Is there one person in the organization reponsible for directing records and information management?

- Do records manuals exist to outline and specify records and information management systems and practices?

- Are there any delays in finding the required information?

- Are there any conflicts between and among personnel from various sections/departments over storage and of records?

- Is there a training programme covering the organization's records management?

- Are the files nearest to the people who use them?

- Have vital records been identified and are they receiving specified protection?

- Is there a records retention schedule for use in systematically eleminating records and information no longer needed?

- Does the information flow easily through the offices?

- Are the users keeping inactive files with the current infromation?

THE SPREAD OF PAPER

RUSSIA

CHINA

DORDRECHT 1586

COLOGNE 1338 (?)

NUREMBERG 1390

PHILADELPHIA 1690

1494

VENICE

HERAULT 1189

MONTEFANO 1276

XATIVA c.1150

TURFAN 399

SAMARKAND 751

KOREA c. 600

JAPAN

DUNHUANG before 150

LOULAN c. 200

KYOTO c. 610

c.1100

NIYA 250-300

FEZ c.1100

DAMASCUS

CAI LUN A.D. 105

MOROCCO

BAGHDAD 793 (?)

AFGHANISTAN

TIBET

CAIRO c. 900 or earlier

ARABIAN PENINSULA

EGYPT
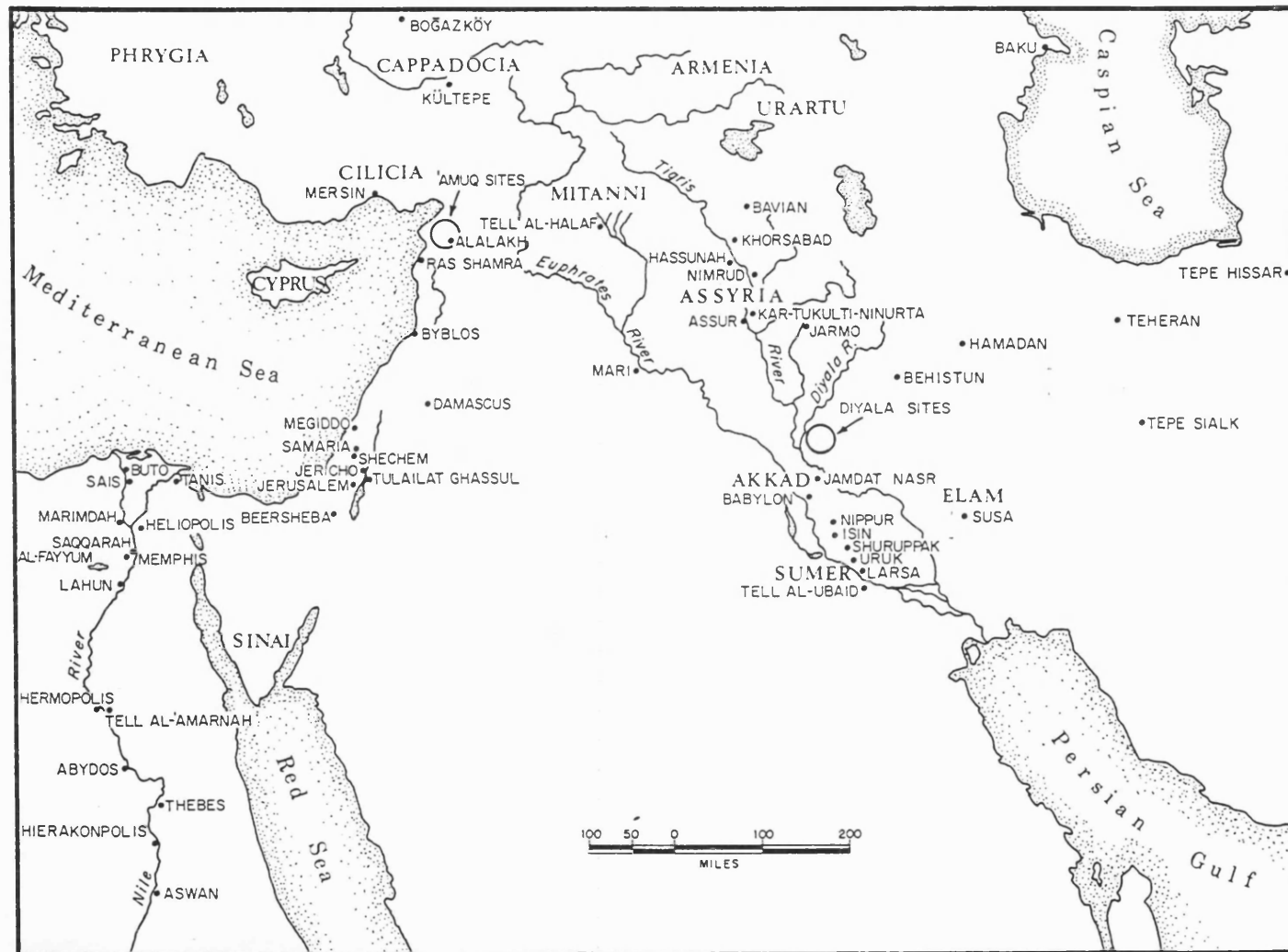
Outline map of the early Near East.

THE ARCHIVES BILL, 1971

(Bill No. 2 of 1971)

(To be presented by the Deputy Prime Minister)

Memorandum in terms of the Standing Orders of Parliament

The object of this Bill is to provide for the custody, care and control of public archives in Swaziland. To that end, provision is made for the establishment of a National Archives and the appointment of a Director thereof.

W. A. RAMSDEN

Attorney-General

A BILL

entitled

An Act to provide for the custody, care and control of public archives in Swaziland and for matters incidental thereto.

ENACTED by the King and the Parliament of Swaziland —

Short title and commencement.

1.   This Act may be cited as the Archives Act, 1971, and shall come into force on a date to be appointed by the Minister by notice published in the Gazette.

Interpretation.

2.   In this Act, unless the context otherwise requires —

     "archives" means any document or record received, created, or accumulated in a government office or an office of a local authority during the conduct of affairs in that office and which is from its nature or in terms of any other Act not required then to be dealt with otherwise than in accordance with this Act, and any document or record acquired under section 6;

     "Director" means the person appointed under section 4;

     "Minister" means the Deputy Prime Minister;

     "national archives" means the Swaziland National Archives established under section 3;

"record" includes any newspaper, book, document, periodical, pamphlet, poster, or other printed matter or a writing typescript which has in any manner been reproduced, or any drawing, picture, illustration, woodcut or similar representation, or any plan, negative print, photograph, engraving or lithograph, or any record or other material, contrivance or device by means of which information can be conveyed and words or images reproduced either in sound or light.

Establishment of national archives.

3.　　There shall be established a Swaziland National Archives wherein shall be stored for better preservation such of the archives as are transferred to it or acquired by the Director under this Act.

Director.

4.　(1)　There is hereby created the post of Director of the national archives who shall be a public officer.

(2)　The Director shall be charged with the custody, care and control of archives and may, subject to subsection (3), do all things necessary or expedient for maintaining the utility of the national archives, and without affecting the generality of the foregoing, may in particular —

(a) with the agreement of the Minister regulate the conditions under which members of the public may inspect archives or use the other facilities of the national archives;

(b) with the approval of the Minister lend archives for display at commemorative exhibitions or for other special purposes;

(c) advise any person charged with the custody, care or control of any archives, in regard to the custody, care and filing thereof;

(d) with the approval of the Minister by donation, exchange or otherwise, dispose of any archives which are redundant or unsuitable to any library, museum, or other body;

(e) on the application of any person and on payment of the prescribed fee, do research into archives and make copies thereof or extracts therefrom for that person;

(f) with the approval of the Minister publish or cause to be published or authorize the publication of any archives or original sources of a thesis or other work based on a study of the archives or those sources.

(3)　The Director shall, in addition, perform such other duties in connexion with the archives as the Minister may direct or prescribe.

Construed

(4) Nothing in this section shall be ~~constructed~~ as authorizing the Director or any person to do anything which is contrary to law or the conditions under which any archives were acquired.

Transfer of archives to national archives.

5.   All archives in a government office or any office of a local authority which are older than a prescribed age, and which are not in terms of any law required to be kept in the custody of a particular person shall be transferred to the national archives :

Provided that —

(a) the Minister may, if he deems fit, at the request of any person charged with the custody, care or control of archives, grant permission that such archives or any portion thereof be retained in the office in question; and

(b) the Director may —

(i) defer the transfer of such archives until such time as he deems fit;

(ii) grant permission that any archives which are less than the prescribed age be transferred to the national archives.

Acquisition of documents and records for national archives.

6.   (1) The Director may on behalf of the Government acquire by purchase or donation or on loan for a temporary period or in perpetuity, either unconditionally or subject to such conditions as may be agreed upon, any document or record which in his opinion has, or may acquire, any historical value.

(2) Subject to any conditions which may be applicable any document or record so acquired shall be deposited in the national archives.

(3) A person who has made use of the archives in connexion with the production of any written matter shall, if that written matter has been published or duplicated, at the request of the Director furnish him with a copy thereof free of charge and that copy shall be deposited in the national archives.

Disposal

~~Destruction~~ *of archives.*

7.   (1) If it appears to the Director that any archives in the national archives are duplicated by other archives which have been selected for permanent preservation or that there is some other special reason why they should not be permanently preserved, he may, with the approval of the Minister authorize the destruction of those archives or, with that approval, their disposal in any other way.

(2)

Access to archives.

8. (1) Archives, other than those to which members of the public had access immediately before the commencement of this Act, shall not be available for public inspection until they have been in existence for such period as the Minister may prescribe in respect of any particular class of archives.

(2) Without prejudice to the generality of subsection (1), if it appears to the Director that any archives selected for permanent preservation under this Act contain information which was obtained from members of the public under such conditions that the opening of those archives to the public after the period ietermined under subsection (1) would or might constitute a breach of good faith on the part of the Government or on the part of the persons who obtained the information, he shall inform the Minister accordingly, and those archives shall not be available for public inspection even after the expiration of the said period, except in such circumstances and subject to such conditions, if any, as the Minister may prescribe.

(3) Subject to subsection (2) and to any other law which prohibits the disclosure of information obtained from the public except for certain limited purposes, the Director shall arrange that reasonable facilities are available to the public for inspecting and obtaining copies of archives in the national archives.

(4) Notwithstanding anything in this Act —

> (a) the Minister may on the grounds of national security or defence direct that access for a specified period to any such archives be withheld; and

> (b) the Director may refuse to allow access to any archives on the ground of their fragile condition and may refuse to allow access to any archives pending the classification, repair, or other treatment thereof.

Regulations.

9. (1) The Minister may, after consultation with the Director, make regulations for carrying into effect the purposes and provisions of this Act as to —

> (a) the custody, care, microfilming and filing of archives;

> (b) the inspection and destruction under this Act of archives by the Director;

> (c) the transfer of archives from Government offices or the offices of public authorities to the national archives;

> (d) the admission of the public to Government offices and offices of public authorities in which archives are kept, and the use of equipment for the making of copies of, or extracts from, archives;

> (e) the tariff of fees payable for supplying copies of, or extracts from, the national archives or for research

undertaken by the Director at the request of any person, and the manner in which payment of those fees will be made; and:

(*f*) generally, the better carrying out of the objects of this Act.

Offences.

10.   (1)   A person who —

(*a*) wilfully damages any archives; or

(*b*) otherwise then in accordance with this Act or any other law, removes or destroys any archives; or

(*c*) contravenes or fails to comply with any condition of an authority granted under section 8; or

(*d*) contravenes a regulation issued under section 9;

shall be guilty of an offence and liable on conviction to a fine of two hundred rand or imprisonment for twelve months, or both.

(2)   The Director may refuse access to the national archives for such period as he may deem fit to a person convicted of an offence under subsection (1), subject to the right of appeal to the Minister whose decision shall be final.

Exemption from liability in respect of certain acts and omissions
    and limitation of actions.

11.   (1)   No person shall be civilly or criminally liable for any act or omission by him in the performance of his functions or what he *bona fide* believes to be his functions under this Act, provided the act of omission was *bona fide* and not due to negligence, nor shall the Government be liable for any such act or omission.

(2)   If any legal proceeding a person alleges that such act or omission was not *bona fide* or was due to negligence, the onus of proving that such was the case shall be on him.

(3)   Any civil proceedings against the Government or any person in respect of any such act or omission shall be commenced within six months after the cause of action has arisen:

Provided that the High Court may on good cause shown extended such period.

ACTION PLAN FOR SWAZILAND

The Purpose of the Action Plan is to identify all things that should be done and the order which should be done. This will depend on such factors as the ability to get them done i.e. other things need be done first; how to do them; when they can be done and by whom. Also it should indicate who will be responsible for implementation.

1.1 THINGS THAT SHOULD BE DONE

1.1.1. Regulations

The Regulations should be established in consultation with the Principal Secretary, Ministry of Labour & Public Service who is responsible for the Schemes of Service and if necessary the Attorney-General's Office which will enable me to

- Create a Records Advisory Committee to
  assist in formulating retention policy.
  In this regard the representatives of the
  Ministry of Finance, Attorney-General,
  historian, University of Swaziland, Trust
  Commission etc can be included.

- Establish retention schedules. In this
  regard, I will have to define what they
  are and what they do.

- Inspect the records of the Ministries
  and government Agencies including those
  of Swazi National Offices and the Royal
  Administration to ensure that retention
  schedules are applied and to identify
  records that are no longer in active use.

- Apply retention schedules or appraise the
  records in consultation with creating agency
  and Advisory Committee to determine how long
  they should be kept.

- Carry out destruction where records are
  determined to have no ongoing value after
  advising ministries of proposed destruction
  unless there is an objection by Principal
  Secretary concerned.

- Transfer records of intermediate value to
  the National Records Centre until destruction
  or review comes due.

1.1.2   Survey

I will survey the records centre holdings to work out
schedules for common categories of financial and house
keeping records. I will consult relevant financial
regulations issued by the government and check these
regulations with relevant official from the Ministry
of Finance, Offices of Attorney-General and Audit General.
These schedules will also be checked against the records
held in the ministries where necessary. I will also
draw up retention schedules relevant to individual
ministries and departments.

1.1.3   Records Centre

Material in Records Centre will be sorted to determine which
Ministries have deposited material. I will

- sort documents by series within
  ministries
- apply retention schedules or appraise,
  seek advice where necessary
- inform ministries of records to be
  destroyed

- accession records determined to have permanent

    value to the archives repository

     . fill in accession register

     . assign archival classification

     . list and box records

     . put records on shelves and

       enter in location register

- organize remaining material in records centre

- file records centre deposit lists in appropriate

- files (review by date order, departmental order)

    ensure that department has a copy and make a

    fourth copy for departmental reference room.

1.1.4   Records in Ministries/Departments

I will sort out semi-current and non-current records in ministries

and other agencies - one at a time

    - apply retention schedules for common categories

      of financial and house keeping records.

    - determine the series that exist and their

      date spans

- determine the length of time the series

is required and whether is should be

retained permanently

- develop retention schedules for record

services specific to the ministry or

department

- process semi-current and non-current

records as in 1.1.3

1.1.5   Current Records

I will survey current records in the registries of the ministries

and government agencies in order to:

- evaluate the effectiveness of filling

systems

- identify all available storage media

- determine the number of registry staff with

a view to training them

- determine the series that exist and their

date spans

- determine the length of time the series

is required

- determine what records could be

microfilmed

- plan retention policy

- identify vital records in order to

protect them

2.1   THINGS I INTEND TO ACHIEVE

What I intend to achieve will depend on the persons who will

be involved and the order in which things will be carried out.

I will break down my work into immediate and medium term aims

and long term aims. Although there are many areas to be

tackled first, the most important area which needs immediate

attention is the records centre followed by the survey of

records and the registries in the ministries/departments

2.1.1   Immediate Term Aim

Records Centre, Survey of records and registries

        - Swaziland has no records management policy;

        hence there are no retention schedules.

        Therefore, there is a backlog in the records

        centre which needs immediate attention.

        - the archives personnel are listing the

        records in the records centre. They are

        assisted by school leavers who have been

        engaged on temporary basis. During the next

        financial year beginning from April, 1992,

        the Archives Department will employ yet

        another school leavers to speed up the process.

        - records without ongoing value are destroyed

        immediately.

7.

.- I made a survey of records in the
ministries/department and in the
districts. During the inspection, I
found that the districts have old files
housed in disused buildings and old
cabinets. The registry staff could not
list the files for the purpose of trans-
ferring them to the archives. They are
assigned to other duties i.e. they attend to
the public. In effect, the colonial practice
is still evident whereby the registry clerk is
the jack of all trade. It means that the
Archives staff should attend to this problem.
This, of course, will depend on the availability
of staff.

- the registry staff in the ministries/
department will be introduced to the
process of appraisal coupled with short
courses conducted by the archives staff
in consultation with the ministry of
Labour and Public Service. Already I am
often asked by the Institute of Management
Development (IDM) to conduct courses on record
management as a consultant.

. the destruction of records

without ongoing value

. the selection of archives

. provision of archives services

. arrangement for handling records

of Swazi Monarchy, related

institutions and private records

- there will be a registry manual for all

the ministries like in the Gambia. An

outside experts will be recruited to

assist in this exercise.

2.1.2   Medium Term Aims

- I will see to it that the regulations
  are established to deal with records
  in the registries, records centre and
  archives

- the exercise will be carried by the
  archives staff in consultation with
  officials of the Ministry of Labour
  and Public Service and the Attorney-
  General's Office.

- the regulations will be implemented
  by the creating agencies and archives
  staff.

- the regulations will comprise, inter alia,

    . arrangements for the establishment
      and inspection of the standards of
      registry services

    . the appraisal of records

    . implementation of retention
      schedules

    . the transfer of records to
      intermediate storage

. the need for retention

  schedules

. the need for records

  centre building

. need to provide an

  effective archives

  service

. staffing and training

  implications

. review the Archives Act

  of 1971 etc

2.1.3 LONG TERM AIMS

- an example of a long term aim is an efficient records management programme or scheme of Service.

- there is a need for the Advisory Committee on records management which should comprise representatives of the Management Services Unit. SIMPA, University of Swaziland, National Archives, specialist advisors from the ministries of Justice and Finance-

- The Advisory Committee should inquire into records services at all phases of the record cycle and make a report to Government giving specific recommendations on the systems required and the management structure required to support them for instance,

    . schemes of service

    . efficient registry service

    . a manual to provide guidance to registry staff and user

    . standard for appraisal of records in all phases

3.1.2   **Medium Term Aims**

Regulation, Retention Schedules and Registry

Manual

- it is anticipated that the medium terms aims

will be completed in 1995. This will be made

possible by the co-operation of the officials

of National Archives, Ministry of Labour and

Public Service, Attorney-General etc.

3.1.3   **Long Term Aims**

Records Management Programme or Scheme of

Service

- the establishment and the implementation

of records management will be completed

in 1998 provided outside experts are

invited i.e. students from the University

College of London and others.

3.1   TIME FRAME

3.1.1   Immediate Term Aims

Records Centre, Survey of Records and Registries

- the task in the records centre is
  expected to be completed in June
  1993. This will be influenced by
  the availability of additional staff
  and the awareness of the staff to
  complete the project in time.

- the records survey will be
  completed by the end of 1992.
  This will be possible because
  transport will be available and
  the Director will carry out the
  exercise

- there is a lot to be done in the
  registries. The task is expected
  to be completed in 1994 when the
  regulations are in place, retention
  schedules introduced, staff trained etc.

IMMEDIATE TERM AIMS

	1992	1993	1994	1995	1996	1997	1998
Records Centre							
Registries							

MEDIUM TERM AIMS

	1992	1993	1994	1995	1996	1997	1998
Regulations							
Registry Manual							
Retention Schedules							

	1992	1993	1994	1995	1996	1997	1998
Records Management Programme							