

**Researcher's perception on access regulations  
in the usage of archival materials: A case  
study of the National Archives of Zambia**

By

Lombe Chileshe

A Dissertation submitted to the University of Zambia in the partial  
fulfillment of the requirements for the award of the degree of

**Master of Library and Information Studies**

**The University of Zambia**

LUSAKA

All rights reserved. No part of this dissertation may be reproduced, stored in a retrieval system or transmitted in any form or by any means, electronic, mechanical, photocopying or otherwise without the prior written permission from the author or the University of Zambia.

©2015

University of Zambia

## DECLARATION

I hereby declare that the attached dissertation, “**Researcher’s perception on access regulations in the usage of archival materials: A case study of the National Archives of Zambia**”, is my own original work. All sources or materials used or quoted in the text have been fully identified in text by indicating the author, date of publication and page numbers. Full details of sources or materials used or quoted in the text have also been provided in the reference section.

Signature

Date

**(Lombe Chileshe)**

## **DEDICATION**

I dedicate this dissertation to my family. To my husband, Fred Lusale-Musukuma, for the encouragement he gave me during the period of my studies and companionship in our marriage.

To our children: Chisumbu, Lombe and Malama for their love given to us and silent support.

**CERTIFICATE OF APPROVAL**

This **DISSERTATION** of **LOMBE CHILESHE** is approved as fulfilling the requirements for the award of the degree of **Master of Library and Information Studies (MLIS)** by the University of Zambia.

**Examiners:**

Signed:.....Date:.....

**- University of Zambia**

Signed:.....Date:.....

**- University of Zambia**

## **ACKNOWLEDGEMENTS**

First and foremost, I would like to thank my research supervisor Mr. Chrispin Hamooya for supervising my research. I also express my gratitude to members of staff from the School of Education and the Department of Library and Information Studies in particular at the University of Zambia who in one way or the other contributed to making this dissertation reality.

I would also like to express my gratitude to the Permanent Secretary Dr. Peter Mwaba, Ministry of Home Affairs for his overwhelming support throughout the duration of my studies and to all the members of staff at National Archives of Zambia for the unwavering support and the researchers who participated in this research. I thank you all.

Finally, I wish everyone who in one way or the other contributed to making this dissertation a reality.

## OPERATIONAL DEFINITION OF TERMS USED

The following terms were used in this study.

**Access:** The granting of permission to:

- 1). Use the reference facilities of an archives;
- 2). Examine and study individual *archives* and *records* or collections held by an archives;
- 3). Extract information from *archives* and *records* for research or publication.

Access to archives in this study may be restricted or withheld to prevent physical damage to original records or to protect confidential information.

**Access conditions:** This refers to the instructions providing access to particular *records* and *archives*.

**Archives:** This refers to those *records* that are appraised as having continuing value and have been selected for permanent preservation.

**Archivist:** This is a person, professionally educated, trained and experienced, responsible for the management or administration of archives and /or records by appraising and identifying records of continuing value, by documenting and preserving archives in their context and by enabling and facilitating their continuing use.

**Records:** These are *documents* containing data or information of any kind and in any form, created or received and accumulated by an organization or person in the transaction of business or the conduct of affairs and subsequently kept as evidence of such activity through incorporation into the recordkeeping system of the organization or person.

*Records* are the information by-products of organizational and social activity.

**Regulations:** These are prescribed rules to use or access the archives.

## **ABSTRACT**

The aim of this study was to assess researcher's perception on access regulations in the usage of archival materials at the National Archives of Zambia. The objectives of the research were: to determine the educational levels of researchers that patronize National Archives of Zambia; to determine the extent to which archival materials are used; to investigate researcher's perception towards access regulations in the usage of archival materials; and to determine which of the regulations researchers consider to be hampering their research and need to be reviewed. Primary data relating to the research objectives was collected using purposive sampling through a questionnaire and interviews as only fifty questionnaires were distributed to researchers who were available at the time and had a 100% return. Research findings revealed that both male and female have access to archival materials and it also revealed that their educational level had a bearing on research. The majority of these researchers are undergraduates representing 68%. It was also revealed that the majority of the researchers used archival materials once per week representing 48% and that archival materials ensure records are available for various research. It was further revealed that researchers attach great importance to the historical value of archival materials. The majority of researchers representing 68% observed that access regulations safeguard integrity of archival materials and lastly the majority of researchers revealed that restricting them to a certain number of documents at a time is likely to affect the use of archival materials. Archives are unique and rare materials which require regulations to protect and guide their access, as regulations are put in place to protect them and ensure that right procedures and processes are in place. In view of the above, there is need to review some of the conditions under the access regulations in order to enhance research and further sensitize the researchers on the value of archival materials and activities.

## TABLE OF CONTENTS

<b>Contents</b>	<b>Page</b>
Copyright	i.
Declaration	ii.
Dedication	iii.
Certification of approval	iv.
Acknowledgements	v.
Operational definitions	vi.
Abstract	vii.
List of graphs	xii
List of tables	xiii.
List of figures	xiv.
List of abbreviations	xv.
<b>Chapter 1:</b>	
1.0 Introduction	1
1.1.0 Historical background of National Archives of Zambia	5
1.1.1 Types of records found in the National Archives of Zambia	6
1.2 Statement of the problem	12
1.3 Purpose of study	13
1.4 Study	13
1.4.1 General objectives	13
1.4.2 Specific objectives	13
1.5 Research questions	13
1.6 Significance of the study	14

1.7	Limitation of study	14
1.8	Format of the study	14
<b>Chapter 2:</b>		
2.0	Literature review	15
2.1	Introduction	15
2.2	Conceptual framework	15
2.3	Modern Archival Theory	15
2.4	Educational levels of researchers	17
2.5	Usage of archival materials	18
2.6	Perception of researchers towards access regulations	23
2.7	Perceived regulations that hampers research	26
<b>Chapter 3:</b>		
3.0	Research methodology	28
3.1	Introduction	28
3.2	Study design	28
3.3	Area of study	28
3.4	Sample size and procedure	29
3.5	Data collection methods and procedure	29
3.6	Data analysis	29
3.7	Ethical consideration	29
<b>Chapter 4:</b>		
4.0	Findings of the analysis of the data	30
4.1	Introduction	30

4.2 Profile of respondents	31
4.2.1 Respondents by age group	31
4.2.2 Area of research	32
4.2.3 Purpose of study	32
4.2.4 Opportune time for research	33
4.2.5 Level of education	34
4.2.6 Level of education in research	34
4.3 Education in relation to research	35
4.3.1 Researchers' perception on the importance of education on fostering archival Research	35
4.3.2 Education in relation to delivery of performance	35
4.4 Usage of archival materials	36
4.4.1 Frequency of usage of archival materials	36
4.4.2 Importance of archival materials in research	37
4.5 Researchers perception towards access regulations in the usage of archival materials	38
4.5.1 Promotion of access regulations in the usage of archival materials	38
4.5.2 Access regulations hamper use of archival materials	39
4.6 Regulations which researchers think should be reviewed	39
4.6.1 Regulations that hinder research	39
<b>Chapter 5:</b>	
5.0 Presentation and discussion of the findings	41
5.1 Introduction	41
5.2 Education levels of researchers	41
5.3 Usage of archival materials	44

5.4 Perception of researchers towards access regulations	45
5.5 Perceived regulations that hampers research	47
5.6 Conclusion and recommendations	48
5.7 Recommendations	50
<b>References</b>	52

## **Appendixes**

Appendix 1: Questionnaire

Appendix 2: Face to face interview questions

Appendix 3: Secondary sources of information

## **List of graphs**

<b>Graphs</b>	<b>Pages</b>
Graph 1: Distribution by age group	30
Graph 2: Opportune time for research	32
Graph 3: Frequency on the usage of archival materials	35

## List of tables

<b>Tables</b>	<b>Pages</b>
Table 1: Area of research	31
Table 2: Purpose of the study	31
Table 3: Level of education	33
Table 4: Level of education in research	33
Table 5: Importance of education in fostering research	34
Table 6: Education in relation to delivery performance	34
Table 7: Importance of archival materials in research	36
Table 8: Promotion of access regulations in the use of archival materials	37
Table 9: Access regulations hamper use of archival materials	38
Table 10: Access regulations that researchers think hinder research	38

## List of figures

<b>Figures</b>	<b>Pages</b>
Figure 1: Sample of District Note Book	7
Figure 2: Researches on the search room	11

## **List of acronyms**

- ANC - African National Congress
- BOMA - British Overseas
- BSAC - British South African Country
- CAP - Chapter
- DC - District Commissioner
- ICA - International Council on Archives
- INDECO- Industrial Development Corporation
- IRMT - International Records Management Trust
- KNA&DS -Kenya National Archives and Documentation Service
- NAZ - National Archives of Zambia
- NCES - National Centre for Education Statics
- SADC - Southern African Development Community
- SPSS - Statistical Package for Social Science
- NRANC - Northern Rhodesia African National Congress
- UNIP - United National Independence Party

# CHAPTER 1

## 1.0 INTRODUCTION

Records and archives are key components in the national development of any given nation. Be it in private or public institutions, they document essential actions, evidence, decisions and thoughts. They are essential for transparency and accountability, which in turn is the foundation for democratic governance. They constitute the memory of the institution or government's activities and are part of the national heritage. Archives are those records of any public or private institution that are judged worthy of permanent preservation for reference and research purposes and which have been deposited or selected for deposit in an archival institution. (Schellenberg, 1975, p.16).

Mckemmish in Ellis, (1993, p.2) submits that archives are documents made or received and accumulated by a person or organization in the course of the conduct of affairs and preserved because of their continuing value.

Cook (1999, p.122) also defines archives as those records that are worthy of permanent retention because of their enduring value as evidence or for research. He further points out that they provide a reliable and authentic knowledge base, enabling the past to be reconstructed and understood. Without archives, the past would remain largely unknown. By documenting the significant decisions, transactions and events of political, social and economic life, archives serve as the essential link in the chain of human history.

Archives are extremely important. It is not just their function as reliable, legal evidences but because they preserve the institutions experiences, spirit, inspirations and vision for the future generation. We live in an information society; information is our basic resource and is our product (Penn and Pennix, 1989). In this day and age any research requires investigating into vast masses of documents and archives permit first study and interpretation of the past records.

Records and archives form an essential and significant part of a nation's information resource. Archives serve as the nation's memory and enable society to plan intelligently for the future based on an awareness of the past experience.

Through the use of a reliable records and information, the government can enhance its ability to formulate, implement and sustain effective policies.

These records play a fundamental role in the operations of an organization as activities of any organization are documented in these records which are created in the normal course of operations of the organization. They explain why a particular incident happened by providing evidence of what activities were undertaken at any given point in the life of any organization. They can be referred to for continuing operations and activities of the organization as they are essential for the effective and productive functioning of the organization.

As a source of information archives maintain long-term memory. They are key to understanding past governments and policies which have affected every sphere of life in both domestic and foreign environments. Archives are by their nature, they are of enduring value because they have evidential, research or historical value. They provide access to past experience, expertise and knowledge and legitimacy. They are self-identity for a nation or people.

According to Mukula, (1981) archival records can provide information to determine legal and political cases and establishing genealogies, settling succession disputes of chiefs, settling land and boundary disputes. Archival sources have also been used often when planning developmental projects. Therefore, unlike books, activities can never be exhausted for they are by no means contemporary records of facts which every decision maker will draw on in a variety of ways to demonstrate their theories. Decision makers need records and archives when making decisions. The speed with which decisions are made depends on the availability of the information, which enables relevant factors and issues to be made. The availability of information however, is dependent on the way in which the records and archives have been organized.

Archives are part of our cultural heritage (Mckemmish in Ellis 1993). They keep recorded information which is universally recognized and accepted as they are unique and irreplaceable heritage. They have significant relationships with other forms of evidence of the past and present human activity.

Archives are viewed as being part of our cultural heritage and that they have significant relationships with other forms of evidence of the past and present human activities such as oral tradition, artifacts and built environment (Bellviken et al in Ellis, 1993).

For these records and archives to be useful, they need to be used and for them to be used, they have to be accessed. It is therefore, important to note as submitted by (Hamooya, 2009) that archival services are effective because they play an important role in the process of development.

They provide the basis for accessing the experience of others, experts, knowledge and historical perspective.

The question of access to archives is one of the most important aspects of archives administration as archival institutions should facilitate the orderly arrangement of archival materials for easy accessibility and retrieval for use (Pen and Pennix, 1994). The term ‘access’ has been defined as the availability of records and archives for consultation a result of legal authorization and existence of finding aids (ICA,2012). Access to archives is an important component of archives administration. In the past, public archival institutions were credited with the dual role of preserving and making accessible the public archives in their custody, access being regarded as a secondary function (Jenkinson, 1937). Today, access to information generally seems to have been acknowledged as a critical element of participatory democracy (Adams, 2006) as evidenced in the glamour for Freedom of information all over the world. The purpose of access laws is to promote accountability and transparency in government (Millar, 2003). One of the institutions that provide access to archival information is the National Archives of Zambia.

## **1.1 HISTORICAL BACKGROUND OF THE NATIONAL ARCHIVES OF ZAMBIA**

The Zambian government attaches great importance to records created by public institutions and all locally printed publications through the statutory provision of the National Archives Act, Cap 175 and the Printed Publications Act, Cap 161 of the revised Laws of Zambia, 1995 edition.

It is for this reason the Government of Zambia established the National Archives of Zambia to collect, manage and preserve public records, archives, printed publications and ensure that they accessible to government institutions and the public for research purposes.

The National Archives of Zambia contributes to the promotion of administrative efficiency in the government. It serves as the collective institutional memory of the government because according to the National Archives Act, Cap 175 of the laws of Zambia, 1995 edition, all government ministries and departments are obliged to deposit valuable non- current records with the institution. Therefore, the National Archives of Zambia provides sources of administrative information from deposited files, reports and other documents which contributes to government efficiency. Government administrators and planners need to understand the actions of their predecessors if there are to balance up their work and to avoid duplication of plans and projects. Acquaintance with previous problems and mistakes of past administrators helped in choosing appropriate administrative paths. Thus, in the formulation of national policies reference to previous policies is of considerable value as policy makers are provided with an account of programmes and measures that were implemented in the past and information on why they were abandoned or succeeded.

National development planning depends on archival information from the National Archives. Musembi (1979) notes that national development planners relied on past national economic information in the custody of National Archives. Effective planning was based on exact and complete evaluation using information on earlier developments, successes and failures in national archives. In planning for national development, the government planners acquired comprehensive information on population statistics from the National Archives. The Central Statistics Office, like any other government department, deposits reports of all previous census conducted in Zambia. The information and details in the reports are useful in national planning. For instance, the fourth census in the history of census-undertaking in Zambia conducted in 2000, determined the size of population, its composition and distribution, levels and trends of fertility, mortality, information on housing, agriculture and economic activities.

### **1.1.0 Historical background of the National Archives of Zambia**

Mukula (1981) states that the origins of National Archives of Zambia can be traced back to 1935, when the archives of Southern Rhodesia (Zimbabwe) were inaugurated. Towards the end of the World War II, proposals were made to extend the service to include Zambia and Malawi for security, accessibility and economic reasons. The joint archives were called Central African Archives with the headquarters in Zimbabwe. In Zambia, Livingstone depot was opened in 1947 but was temporarily closed and records transferred to Salisbury (Harare), Zimbabwe.

The depot was reopened in Lusaka, Zambia in 1956 and the old building was occupied in 1963. After independence and the dissolution of the Federation, the Zambia Archives ceased to be a branch of the Central African Archives and renamed the National Archives of Zambia.

The National Archives of Zambia Act Cap 175 of 1995, under part IV deals with the selection and preservation of public records and their transfer to National Archives and the circumstances under which records that have not been transferred to the National Archives may be destroyed. Part IV of the Act also states at which stage of the records life span members of the public may have access to the records. It also gives authority to the director of the National Archives to inspect public archives and the circumstances under which such inspection can be carried out. The National Archives of Zambia has also Provincial Records Centres.

Provincial Records Centres, controlled from National Archives Headquarters were opened in Central Province, Kabwe (1974), Eastern Province, Chipata (1976), Copperbelt, Mufulira (1976) and transferred to Ndola in (1978), Lusaka Province, City Annex (1977), Southern Province, Livingstone (1977) and Luapula Province, Mansa (1998). Plans are underway to open Provincial Records Centres in the remaining provinces. These Records Centres are responsible for the management and custody of all semi-current records created by various Government Ministries and departments. They are also responsible for the management and custody of records of privatized and liquidated companies.

The Provincial Record Centres are responsible for records under records management. These records are restricted to the public and only accessible to the depositing institutions until after a period of twenty (20) years before they are either destroyed or transferred to the National Archives of Zambia Headquarters. Certain categories of records are kept for a longer period for security reasons. The National Archives Headquarters is responsible for records under archives management. These records are the ones which are open for access to the general public.

### **1.1.1 Types of records found in the National Archives of Zambia**

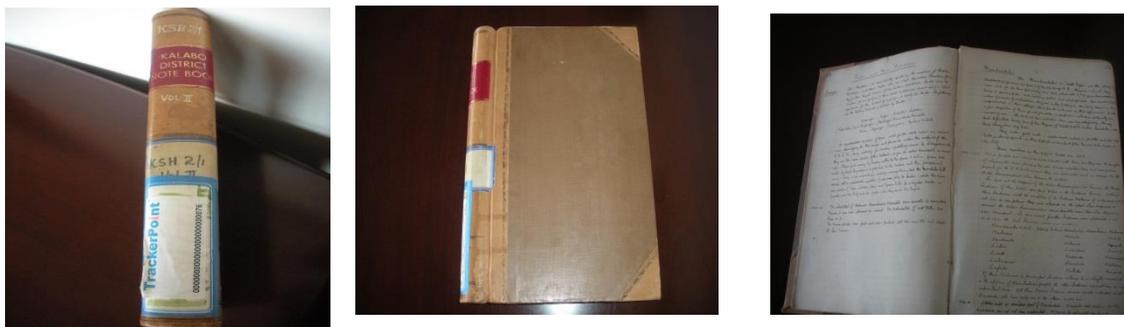
It is important to highlight the historical development of the country in terms of administration in order to know what records are available for research. Zambia was a colony of Great Britain and in the process of colonization, it started with the British South Africa Company (BSAC). The BSAC was granted a charter in 1891 by the British Government that led to the formation of North-Eastern Rhodesia in South Central Africa. Graham and Halwiindi (1970) submits that the office of the Administrator was created under the North-Eastern Rhodesia Order in Council of 1900 which formally placed the North-Eastern Rhodesia under the BSAC administration. This led to the establishment of the Civil Service under the Civil Service of North-Eastern Rhodesia Rules and Regulations by Government Notice no.1 of 1901. North-Western Rhodesia was also formed and administered from 1891.

The North-Western Rhodesia Order Council was passed in 1899 which formally established the administration and gave statutory rights to the company. The BSAC amalgamated North-Western Rhodesia to form Northern Rhodesia in 1911. These are archives of the administrations of North-Eastern Rhodesia (1891-1911), North-Western Rhodesia (1891-1911) and Northern Rhodesia (1911-1924). The Colonial Office took over the administration of Northern Rhodesia and introduced an indirect rule. During the same period of BSAC rule many missionaries of different denominations came from England, Scotland, Wales, Ireland, France, America, Italy, Holland, South Africa and elsewhere and set up mission station in various parts of the country where they established schools and medical institutions.

After that came the Crown colony records which had an administrative structure consisting of a Governor, Chief Secretary, Secretary for Native Affairs, Directors of various departments including Provincial Commissioners who created many records for administrative purpose.

These records were called Secretariat records which are highly utilized by researchers. The finding Aids for these are: SEC 1- (Vol. 1 1924-1933, Vol. II 1933-1965), SEC 2- (1924-1965) Native Affairs only and SEC 3- (1924-19 1965) which were created as the administrators managed the affairs of the territories. Besides the Secretariat records are reports of various commissions of enquiries like the disturbances on the Copperbelt Commissions of enquiry of 1935, 1940, 1956 and 1963. The information contained in the National Archives of Zambia is derived from official documents generated by various administrators before and after independence, beginning with the *British South African Company (BSAC)* administration in the 1870s, colonial administration and the post-independence period to date. *Annual and Tour Reports* were written by District Commissioners and other local administrators on the basis of extensive field trips in their respective areas. The socio-economic information they contain on, for instance labour migration and population, chiefs, taxation, local skills, development constraints, etc are generally unavailable elsewhere. These are the most valuable and unique documents called the *District Notebooks* which started in 1935. They provide an easy entry point into local developments all over the country. They are a source of historical, political, administrative, ethnographical and anthropological information. These were kept at the district administrative stations (bomas) during the colonial period. The *Guide to the Public Archives in Zambia Vol. 1*, covering the years 1895-1940 is also available

**Figure 1: Sample of District Notebook**



Immediately after independence, more ministries and departments were formed which meant the creation of more records like annual reports, government publications, newspapers, Zambian published books, journals, photographs and maps whose collection continues to increase in the National Archives of Zambia for research. There are also private papers of some individuals who were colonial Administrators like John Bissett, William Vernon Brelsford, Frederick Vernon Bruce-Miller, Edward Arden Copeman, Norman Spencer Knight and Charles William George Stuart. Politicians like Bautis Frank Kapulu, Reuben Chitandika Kamanga, Peter Wilfred Matoka, Andrew Bwalya Mutemba, Robinson Mwaakwe Nabulyato, Harry Mwaanga Nkumbula, Andrew S. Sardanis, Alex Kaunda Shapi, Wittington K. Sikalumbi, John Malama Sokoni and Simon Ber Zukas. Records of missionaries like Frederick Stanley Arnot and Walter Fisher. Records of settlers included Paddy Bruce-Miller, Elisbeth Margaret Maclaren, Major Boyd Alexander Cuninghame, Charles A. Fisher, Henry Rangeley, John Edward Stephenson, Hugh Felix Walker. Other collections of personal papers are for Lt Col. Sir Gore-Brown who was the most illustrious European settler in colonial Zambia took up farming in Chinsali where he developed the famous Shiwa Ng'andu Estate and Thomas Walter Savory who was employed as a Surveyor in Northern Rhodesia by the British South Africa Company.

The information could be found in *A First Guide to Non-Governmental Archives in Zambia (2004)*. Others are records for organizations, churches, maps, photographs, stamps, films and sound recordings. The collection also includes a comprehensive legal deposit library comprising all locally published books and periodicals which are widely used by researchers.

The National Archives of Zambia has an audio-visual collection which has video, sound recordings and films on a variety of subjects ranging from political and sociological issues to economic, educational, health and cultural issues. The collections were sourced from public media organizations such as the Southern African Broadcasting Services, Zambia National Broadcasting Corporation and the Zambian Information Services. The collection is used to educate visitor groups such as students who visit the National Archives to familiarize themselves with the work and holdings of the institution.

The philatelic and currency collection at the National Archives of Zambia has an important educational resource. The collection comprises postage stamps from the colonial to the post-independence period acquired from the Zambia Postal Services.

The currency collection consists of coins and notes used before and after independence. These are deposited by the Bank of Zambia. The currency and philatelic collection represent different aspects of Zambian life and events. In this regard, the postage stamps deposited by the Director-General of Postal Service in 1981 covers a wide range of issues such as World Forestry Day-Speed pod, World Telecommunication, health and traditional musical instruments. These collections are displayed during exhibitions to educate and enlighten the public on Zambia's past culture, events and life. Some of the collections are permanently displayed in the Archives Gallery to educate the visiting public on the postal and currency history of Zambia. These are the materials that researchers need to access.

However, access to archival materials comes with regulations. Over the years, the National Archives of Zambia has had regulations on the use of archival materials. The *National Archives of Zambia Act, Cap 175 of the Laws of Zambia, 1995 edition* is used as a regulatory tool and the *Readers Note* to regulate researchers in the use of materials in the search room.

According to the Act, which is stipulated in the Reader's Note, for records in closed period of twenty (20) years, they are a private property of offices that created them. While the records in open period, the records are open to the public for research after they have been closed for over twenty (20) years and are not restricted but one must have a valid ticket to use them. A ticket is valid for the length of time the researcher has applied for and renewals are made when the ticket expires. Government officers doing research on behalf of government are allowed to have access to archival materials on production of an introductory letter from their institutions. Photocopying services is also offered at a reasonable fee within the National Archives of Zambia offices.

It should be noted that readers should adhere to the conditions which are as follows:

- Silence must be observed in the reading room at all times.
- Readers must use only pencils;

- Each reader is only allowed three documents at a time and after reading them, they must be handed back to the search room invigilator.
- Requests for documents must be made on form NA 17A provided by the invigilator.
- Readers must not tear papers/ pages from any research materials. This is a very serious offence.
- Readers are not allowed access to the repository.
- Use of other devices (camera's, scanners, and photocopiers) is not allowed unless with approval by authorized staff.
- No food is allowed in the search room.
- No caps are allowed in the search room.
- Readers are required to leave their bags at the security check point.
- All government employees doing research on behalf of government should come with introductory letters from their respective ministries/departments.
- Readers will be denied search room facilities if there is a reason to believe that their actions are contrary to the rules governing the use of the public archives of Zambia.

Furthermore, access to public archives in these provisions is only made available on the payment of such fees as prescribed by the regulations made under this Act and when to inspect or obtain extracts from public archives in the National Archives of Zambia.

Security of archival materials is of paramount importance in any archival institution. Some researchers feel that access regulations in the archives is a repugnant and a hindrance to their research work as they have to adhere to some of these conditions regulating access to the use of archival materials at the National Archives of Zambia.

Others have been adhering to these regulations while others have also claimed to have no or little time to do research and have requested to make copies of the whole file, book or requested to have digital copies of the these materials which is against archival principles.

*Figure 2: Researchers in the search room*



## **1.2 STATEMENT OF THE PROBLEM**

The National Archives of Zambia is an institution that has in its custody important archival materials that members of the public and society as whole can use in their social and developmental activities. These documents however, have access regulations. These regulations are meant to help monitor movement of records by users, protect and preserve fragile documents from further tear and wear. Researchers are required to pay a minimal fee to have access to archival materials and also limiting the number of materials to be used at a particular time, while those doing research on behalf of government are required to bring an introductory letter from their respective institutions. These regulations are not meant to hinder the usage of materials but are necessary to protect public and private interests. They have become a constant source of conflict between researchers on one hand and archivists on the other hand as their requests are not granted to avoid violation of rules and regulations. There are consequences if these regulations are not adhered to. The consequences are that if so many materials are given to a particular researcher than the required number per request, there is a risk of losing the document through damage, theft and rearrangement. The risk of making photocopies on materials that are fragile will have an adverse effect on the documents and it is against archival preservation principles. Government officers also come with excuses of wanting to use archival materials as a matter of urgency even if they have no introductory letters. The requirement for the introductory letter is not to hinder research but to determine the authenticity of government workers so as to know if they are indeed researching on behalf of the government institution. Photocopying within the National Archives offices helps to reduce on researcher's photocopying the whole document for copyright reasons and preservation purposes so that the life span of the document is prolonged. While the fees are meant to place value on information since information is a commodity and just to make researchers appreciate information. It is therefore, important to find out why these people do not want to adhere to these rules and regulations. The study therefore, seeks to investigate the perception of researchers' when accessing the usage of archival materials in the National Archives of Zambia.

### **1.3 PURPOSE OF STUDY**

The purpose of the study was to assess researchers' perception on access regulations in the usage of archival materials at the National Archives of Zambia.

### **1.4 STUDY OBJECTIVES**

#### **1.4.1 General Objective**

The general objective was to assess researchers' perception on access regulations in the usage of archival materials in the National Archives of Zambia.

#### **1.4.2 Specific objectives**

The specific objectives of this study were;

1. To determine the educational levels of researchers that patronize the National Archives of Zambia;
2. To determine the extent to which archival materials are used;
3. To investigate researchers' perception towards access regulations in the usage of archival materials and
4. Determine which of the regulations researchers consider to be hampering their research and need to be reviewed.

### **1.5 Research questions**

The study was guided by the following research questions:

1. What are the educational levels of researchers that access the services of the National Archives of Zambia?
2. How often do researchers access archival materials?
3. Are access regulations promoting the use of archival research?
4. Which regulations do researchers think should be reviewed?

## **1.6 SIGNIFICANCE OF THE STUDY**

This study hoped to raise awareness on the importance of access regulations in the usage of archival materials in the National Archives of Zambia and that the findings will also help improve on the services that the institution provides.

## **1.7 LIMITATION OF STUDY**

The only limitation that may be associated with access regulations in the usage of archival materials is due to the fact that researcher's in this study included only those researchers who are registered and were available in the search room at the time of the findings.

The researchers were confined to National Archives of Zambia headquarters as access to archival materials to researchers is only at National Archives of Zambia headquarters. The Records Centers do not have records for research as they are still under semi-current and are only accessible by the creating institutions and not open to the public. It should however, be noted that the results are validated as they represent views of most researchers.

## **1.8 FORMAT OF THE STUDY**

Chapter two provides an overview of literature on modern archival theory, educational levels of researchers, usage of archival materials, perception of researchers towards access regulations and perceived regulations that hampers research.

Chapter three identifies and explains the research design, area of study, sampling size and procedure, data collection methods and procedures, data analysis and ethical considerations.

Chapter four presents the research findings by presenting data into tables showing frequencies and percentages as well as narratives from the interviews.

Chapter five discusses and interprets research findings as presented in chapter four and provides a link between study objectives, research questions, problem statement, literature reviewed, research findings, conclusions and recommendations.

## CHAPTER 2

### 2.0 LITERATURE REVIEW

#### 2.1 INTRODUCTION

This chapter provides a review of literature related to the study. The literature reviewed relate to modern archival theory, educational levels of researchers, usage of archival materials, perception of researchers towards access regulations and perceived regulations that hampers research. There are various opinions concerning access regulations theories. According to the conceptual framework based on the *Modern Archival Theory* of the twentieth century which is grounded on the principle of access regulations in archival institutions, the theory is ideal for the study as access regulations in the usage of archival materials offer the researchers a point of reference in their research in accordance with the legal obligation and ensured accessibility of information.

#### 2.2 Conceptual Framework

*Figure 3: Depiction of conceptual framework*



#### 2.3 Modern Archival Theory

Roberts (1987) has strenuously and colourfully denounced the idea of archival theory. He does not believe that it can be developed to any useful effect. The blunt point of his argument is that Archivists save what is historically valuable and that is the theory. He sees archives as consisting of either content to be exploited or context to be elucidated as an aid to understanding the meaning of content. In either case, what can be known can be derived from the knowledge of other disciplines but that knowledge cannot be distilled into a coherent archival theory that would be useful. He rejects the idea that archives have common characteristics.

Archival work is intrinsically, inescapably adhoc. He further argues that archival literature is and should be solely concerned with matters of technique and procedure.

In the course of his arguments, he presents the kernel of his own theory. Because the work of the Archivist is all about preserving sources for the study past, the market for sources determined by past research use of archives drives the processes of acquisition and selection. Subjects of interest are invented by historical scholars and then archival materials to satisfy that interest are identified and preserved. The evaluative dimension of this process requires the wisdom of the knowledgeable historian not the mechanical dexterity of well trained Archivist mistakenly searching for unattainable objectivity.

Burke (1978) advocates developing theories that would draw upon a variety of disciplines in particular, the findings of the studies of bureaucratic management and decision-making. Intelligent archival work must incorporate knowledge from many other fields, but such knowledge cannot be distilled into a coherent archival theory that would be useful. If there are theories of bureaucratic organization that could assist an Archivist, those theories would be sufficient in their original form and need not to be re-stated as part of some cut-and-paste archival theory. Furthermore, bureaucratic structures, centres of power and record-keeping practices vary so much from organization to organization that any archival theory that attempts to cover them would be better either too broad or too specific to be an accurate guide to much of anything. The Archivist who would document an organization would do better to study that specific organization to learn in reality how it operated, rather than rely upon generalizations cobbled together by archival theories.

Lutzger (1982) has concurred with Burke's call to integrate archival theory with bureaucratic theory and has even suggested that such a concoction could give Archivists a unique understanding of bureaucracies that would qualify them to serve as bureaucratic ombudsmen sitting as the great arbiters within the organisations. When he criticized that approach as having nothing to do with archives, Lutzger accused him of lack of vision. He preferred to think of it as a reluctance to hallucinate. Archival work is about archives and not about arbitrating disputes, repairing cars or engaging in other non-archival pursuits. Of course, some theorists might debate even that seemingly self-evident point.

It should be noted that the Modern Archival Theory, is grounded on the principle of public use because it offers the researchers a sense of identity, history, culture and collective memory. Archives are used as a point of reference by people from all walks of life and with different backgrounds for them to make informed decisions, verify facts, develop literature and enhance their knowledge. Providing access to the information that is in the archives is central to the delivery of the archival services. It is only when these records are used that archives can best demonstrate their usefulness to the public. Rules and regulations are paramount in the use of archival materials as they are the main building block for any researcher to have access to archival materials such as conditions under which services will be provided. Access to archival should not be denied to anybody but meet their needs if they are available according to the conditions that are available within the legal framework of the institution. This should, however, be done in accordance with each particular country's access regulations.

#### **2.4 Educational Levels of researchers**

The importance of education in research especially in the use of archival materials by researchers is cardinal for any research to be undertaken. It should be noted that not all research requires one to have formal education. The importance of education in the use of archival materials is that some form of knowledge makes it easy for researchers to understand search room rules and regulations, as well as the use of basic search tools.

A study by Abiola (2009) investigated the perception of searchers to access regulations in National Archives of Nigeria. A descriptive survey was adopted for the study with questionnaire and interview as the research instruments. The study revealed that searchers, with varying level of education, used records in the National Archives of Nigeria for research, informational, litigation and administrative purposes. They were familiar with the access regulations of the institution some of which they considered repugnant and a hindrance to research work and, therefore, due for review. Based on the findings, the study recommended a review of some of the regulations to improve access and to eliminate incessant conflicts between the staff of the institution and its patrons.

Researchers need some form of educational knowledge on how to use archival materials but this does not necessarily mean that they need a certain qualification to use archival materials.

Most of the researchers, however, come without knowledge on how to use archival materials and have to be taught by the archives staff. Archival materials are not the way library materials are accessed and displayed on shelves for easy access, but require the researcher to be knowledgeable on how to use archival inventories. Hamooya, (2009) in his study accessed the awareness and usage to archival materials held at the National Archives of Zambia. In his study it was revealed that both the young and old people utilize the National Archives of Zambia and the results further indicated that there was need to embark on awareness programmes for the institution to be utilized effectively. The study also revealed that archives are important and that they contribute to social, economic, political and culture well-being of the society. He recommended that the National Archives of Zambia should carryout frequent exhibitions as a way of marketing its services and facilities in terms of the value and benefits to would be users and put in place brochures and posters explaining the services of the institution. It should also conduct workshops and seminars during which services offered by the institution should be explained. Every country makes legal provisions for access to archives.

Tobby (1996) in his studies of archival legislation concluded that researchers are not very often drawn by educational levels and requirements in order to undertake research but by an inner feeling dictated by a research problem that requires the use of archival materials. The need to resort to archival materials instead comes in because of a discrepancy between the researcher's already available information and a gap cap that fails to solve the problem. As a result researchers focus on the need to solve a research problem without being aware of the education being used unconsciously that is dictating their effective use of archival materials.

## **2.5 Usage of archival materials**

The archival materials promote academic research of a historical nature by preserving primary sources of information. These sources of information are important raw materials for historical investigations because they are accumulated as natural product of originating offices or activities. Primary sources of information contribute to the compilation of academic works such as doctoral dissertations, thesis, academic essays and paper presentations.

The National Archives of Zambia promotes scholarly research through the preservation of a wide range of information that covers social, economic, cultural and political subjects which are used in the writing of books, (National Archives of Zambia Researchers' Register).

Mainga (1973), for example in her works on the Bulozhi under the Luyana Kings: Political evolution and state formation in the Pre-Colonial Zambia, used District Note Books for Bulozhi, Batoka, Kasempa, Kalomo, Gweembe, Livingstone and Namwala in her work to reconstruct the main features of the Makololo state and its impact on the Bulozhi in the middle of the nineteenth Century. The other archival sources used were papers of the Administrator of Northwest Rhodesia and papers of Northern Rhodesia Secretariat.

In writing of a book; *Reactions to Colonialism: A Prelude to the Politics of Independence in the Northern Zambia, 1893-1939*, Meebelo (1971), consulted archival sources in the form of the B.S.A Company's correspondences, Native Welfare Association documents and district notebooks of Albercon (Mbala), Broken Hill (Kabwe), Kasama, Ndola and Livingstone, Chinsali and Isoka. Roberts, (1973). acknowledged that having used archival documents from the National Archives in the years 1964-1965 to write "A History of the Bemba". Among the documents used were the North-Eastern Rhodesia Records, District Note Books for Kasama, Mporokoso, Mpika and District Commissioner's diaries.

The National Archives Library holds numerous secondary sources in form of books, journals and periodicals that are published within and outside Zambia. Through the Printed Publications Act on the legal deposit status, the institution acquires printed materials on a wide range of subjects used in academic and non-academic studies, writing of books and production of audiovisual presentations for radio, and television. The students particularly from the University of Zambia and other learning institutions have used the archives library resources for academic assignments and works. Etambuyu Mubiana, a former student of Nkrumah Teachers College, confirmed having used the archives library in 1994 for information on the traditional beliefs and rites of a child in the Zambian culture. The National Archives of Zambia Annual Reports for 1966 and 1967 also indicates that the library is widely used by the students of the University of Zambia for academic purposes.

Studies have also been done by various scholars on the usage of archival materials. Whitmaire (2002), for example, examined the relation between archival resource utilization and researchers (students) educational outcomes through multiple regression analysis, utilizing the data collected by the NCES (National Centre for Education Statistics). Two assumptions underlie her studies:

1. Researchers that live near an archival institution participated more in research activities than those that lived in places that were far away from an archival institution
2. Researchers utilizing archival materials had greater gains in critical thinking and recording viable research papers.

Three sets of independent variables were defined as:

1. Background characteristic variables ( gender; race; age)
2. Research experience variables (grade point averages; engagement writing activities; active learning activities; number of research papers written; hours spent studying per week)
3. Archival variables (resources; services).

The dependent variables were defined as:

1. Archival institution use ( usage as a place; use of indexes; asking an archivist for help; use of finding aids; use of study materials)
2. Self-reported gains in critical thinking skills ( ability to think analytically and logically; ability to put ideas together, see relationships, similarities and differences between ideas; ability to learn on your own, pursue ideas, and find information you need)

The analyses showed, however, that the use of archival materials had an influence on the quality and validity of the research paper written. It further concluded that utilization of archival materials for research purposes was high especially among college and university students who needed to submit their research papers in order to graduate. This analysis was a study that was designed to hint at a way of measuring the contributions of archival institutions on research, mostly on educational outcomes.

Oluwadare (2006) examined the use of archives in Nigeria by part time students. The results reveals that 100 students surveyed (52.6%) claimed that they use the archival institution whenever they wanted to conduct a research, while 73 (38%) said they do not and 17 (8.9%) were undecided.

The review of literature for this study and the background information has revealed the extent to which archival materials are being used in Nigeria. This also further shows that researchers attach more importance to an archival institution as a research Centre.

The media institutions have benefitted from the resources in the archives library. The resources are mainly used to supplement the audio-visual materials in the production of radio and television programmes. For instance, although the Zambia National Broadcasting Corporation (ZNBC) had its own audio-visual archives which cover events on cultural, social, economic and political events that occurred in the colonial and post-independence period, they did not reveal all the aspects and facts of the events. Hence reporters made use of the National Archives of Zambia for in-depth information to supplement the information gaps in the audio-visual productions. The written information in form of newspapers is an important resource in the production of television documentary programmes. Kenneth Maduma, a journalist, stated that in the production of a television programme 'Looking Back' which aired on Zambia National Broadcasting Services between 1976 and 1977, he made use of the Northern News which is now Times of Zambia from the National Archives of Zambia for information which was used for quotations. The programme focused on political personalities that sacrificed their lives for independence.

Another journalist, Justin Nshimbi, confirmed in 2012 having used the periodicals from the archives library to supplement recorded audio material in a radio programme 'From the Archives' which aired from 1991-1993 on Zambia National Broadcasting Corporation on radio 2. The radio programme was meant to revive the events of the past for the generations that were not present and memories of those who were there. Nshimbi stated that the programme covered events such as the First Independence celebration. The Northern Rhodesia Times was used for information on the first speeches that were made Queen Elizabeth of Britain and Kenneth Kaunda, the first Zambian president. The Lenshina and Chachacha uprisings were some of the other events presented on radio through the use of archival information.

In this case, Barnes (1954), work on the history of the Fort Jameson, Ngoni of Northern Rhodesia was achieved through the use of District Notebooks.

Through the study of District Notebooks, Barnes demonstrated the cultural changes which took place among the Ngoni. He particularly noted that the Ngoni were once a great conquering nation who raided neighbouring tribes to replenish their manpower and cattle but the British conquest destroyed the military and political structure upon which the Ngoni way of life depended and brought a social revolution.

The District Notebooks were valuable resources in the publication of calendars of the District Notebooks. The calendars contain summaries of all entries that were made in the District Notebooks in chronological order. Mukula (1981) used the fragmented information from District Notebooks to write a comprehensive history of Northern, Luapula, North- Western and Western provinces by combining all information on a particular subject of a district. Thus through the use of District Notebooks from these provinces, he was able to compile the Calendars of the District Notebook: Luapula Province (1878-1963), Calendars of District Notebook: Northern Province (1862-196), Calendars of the District Notebook: Western Province (1851-1963). The Calendars of District Notebooks were useful in verifying the correct names which were corrupted by the Colonial Administrators. Mutumba (1973), assisted in correcting the names and terms through the study of District Notebooks. Barnes (1954) demonstrated the cultural changes which took place among the Ngoni. He particularly noted that the Ngoni were once a great conquering nation who raided neighboring tribes to replenish their manpower and cattle but the British conquest destroyed the military and political structure upon which the Ngoni way of life depended and brought a social revolution. The purpose was to enable researchers to identify the modern equivalent names recorded.

Archival information is useful in the verification of historical facts of a traditional nature. Archives are viewed as being part of our cultural heritage and that they have significant relationships with other forms of the past and present human activities. In this line, traditional rulers are frequent users of the National Archives of Zambia in search of information that relates to genealogy, boundary and succession disputes. Traditional rulers have found them useful as they contain the only written records of their own succession. The National Archives of Zambia Register (2012) indicates that Chief Chipepo of Southern Province used the archives as evidence over a boundary dispute in his chiefdom. Individuals and chiefs who face succession disputes use the archives to trace the procedures and lines of succession.

The photographs are used in construction of pictorial history. The National Archives of Zambia Annual Reports of 1968 and 1969 indicate that a number of enquiries were made from overseas publishers who wished to illustrate books on Africa. The photo collection is also used in local publications. Archival information in the National Archives is of legal value to the public.

Gibson (2000) conducted a study on access and utilization of archival materials in which twelve (12) archival institutions from twelve (12) different countries were studied. The study paid special attention to the research value of archival institutions. A sample of 750 researchers from each country was sampled giving a total sample of 9000 from all the twelve (12) countries. The findings of the study indicated that 6030 of the respondents representing 67% use archival materials to high extent in their research, writing research papers, studying for examinations or if and when referred to by their lecturers. Hence to a high extent these studies revealed a high utilization of archival institutions and their services in fostering research.

## **2.6 Perception of researchers towards access regulations**

Administering access to archival materials involves establishing procedures which will ensure that legislative requirements are upheld and that the records are protected from theft, damage and rearrangement (Ellis, 1993). It is important to note that access regulations to archival materials vary from country to country and one archival institution to another. This also depends on the nature, purpose and legal requirements that uphold the interest the particular nation as well as the nature of records held. Regulating access to the use of archival materials and careful administrative planning are necessary preludes to assisting researchers to locate information about the archives and to offer effective services to the researchers who wish to use original archival materials.

Archival institutions provide access to records and archives which are a research resource. Researchers have the right to research and use archival materials. This access should however, be clearly defined and in the best way possible, follow the best models for the kind of legislation. Many governments around the world have implemented access to information legislation. Such legislation is critical to the establishment of accountable and transparent operations. Access legislation must state that access to government information is a right, not a privilege. The legislation should ensure that the government will have discretion to decide what will or will not

be made available except for a certain specific categories of records such as those critical to national security. Critical to access legislation, as with any legislation is the inclusion of penalties for abuse, neglect or mismanagement.

The National Archives of Zambia has access regulations in the search room and also a mandate under the Zambia National Archives Act, Cap 175 of 1995. The search room regulations require that users must adhere to the following: readers must use only pencils; each reader is only allowed three documents at a time and after reading them, they must be handed back to the search room invigilator; readers are not allowed access to the repository; use of other devices (cameras, scanners, and photocopiers) is not allowed unless authorized. Access to public archives in these provisions is only made available on the payment of such fees as prescribed by the regulations made under this Act and when to inspect or obtain extracts from public archives in the National Archives of Zambia.

Ellis, (1993) further suggests administrating access to archival materials involves establishing procedures which will ensure that legislative requirements are upheld, and that records are protected from theft, damage and re-arrangement. It is important to note that access regulations to archival materials vary from archives to archives depending upon the nature, purpose and legal requirements that uphold the interest of each nation, as well as the nature of records held. Rulemaking and careful administrative planning are necessary preludes to assisting people to locate information about archives and to offer effective services to the people who wish to use original archival materials. With the view in mind that access to archival materials is regulated in many different ways, it is difficult to provide a single framework on how access to archival materials is done. These rules and regulations set the conditions under which subsequent services will be provided.

Access legislation alone does not protect the record. Access legislation requires or should require that with limited explicit exceptions and any record created by government and still in existence will be made available to the public upon request. But access legislation does not require that any record must be created or that any record created must be kept, or for how long. Without a requirement that governments create and protect records of important transactions and decisions, the public has no recourse when such information cannot be made available.

Nicholls (2000) states that access and privacy legislation (also known as information rights legislation) has been an evolving feature of Canadian life for more than twenty years. Public archives, as custodians of the records of their government sponsors, are profoundly influenced by these statutes. There are two factors that combine to make Manitoba unique in the Canadian access and privacy landscape. The Provincial Archives of Manitoba does not assume the role of “gatekeeper” of access to records in archival custody. Instead, it serves as “guide” to them and to all other records covered by the legislation, in its role as the central administrative office for the Freedom of Information and Protection of Privacy Act. This approach has resulted in both benefits and challenges for the Provincial Archives. By the same token, the more common role of a provincial archival institution – actually determining access to records in its custody and control – has, according to the literature, been challenging and problematic. This thesis is a case study of the “Manitoba model”. It explores the history of public recordkeeping and the creation of a reliable government records program at the Provincial Archives of Manitoba, which provided the foundation of access to information. It also discusses how information rights legislation developed in Manitoba, the role of the Provincial Archives in this development, and the impact on it of the responsibilities which have resulted from this role. The thesis examines some of the issues arising out of Canadian access and privacy legislation which have particular implications for archival institutions and concludes with suggestions for changes which address the question of the role of a public archives in relation to information rights legislation.

These access regulations help in preservation of archival materials but the perception of researchers towards access regulations varies. Valge and Kibal (2007) examined the formation of restrictions on access, against the background of the general attitudes of society, the methodology of historical research and the development of archival science before and after the French Revolution up to the end of the 20th century. A detailed survey of the central archives of European states, based on the responses received from 23 countries, introduces a comparative view of the situation regarding access to archives in the early years of the 21st century. Resulting the analysis of restrictions on access as practiced in European archives today, the authors stress on some ideas addressed to researches in the future. For instance, could a restricted access to an archival document make the situation for a researcher worse or better than if the document did not exist at all: Or could the increasing protection of personal privacy affect some global processes besides the archives and historical research.

Cooper (1994) in his studies on information literacy and the role of archives in promoting research conducted a study in which 1500 participants were sampled in Zimbabwe and South Africa to assess the regulations that are put in place to protect archives and their impact on research. The studies found that the majority of the researchers (72.2%) were in favour of the regulation requiring researchers to submit their notes to the reference archivist or any search room staff for scrutiny if requested to do so while 27.8% of the researchers frowned this regulation.

Furthermore, researchers were, however, divided on the regulation forbidding researchers from using records for purpose other than for which their applications were originally granted, as 50% were against. Interviews conducted, however, revealed that the preponderance of opinion is that the regulation is unnecessary.

The researchers were also unanimous in their support of the regulation forbidding the use of archives in places other than the search room or any other provided for the purpose. They, however, considered unacceptable and repugnant the regulation requiring university students and other stakeholders to provide recommendation from their professors/ schools or departments, the regulation requiring prospective users of archives to give sufficient notice in writing of their intention to conduct research in the archives.

Tomlinson, (2011) in his study explored the implications of setting access restrictions to records. In his study, he further reviewed that access restrictions levels varies as does the period of restriction and concludes that these records need not to be restricted as they infringe on people's rights and privileges and therefore need to be waived. In his findings it was revealed that there is no standard approach to allowing public access of the records across institutions.

## **2.7 Perceived regulations that hampers research**

Archival institutions have rules and regulations that users should abide by for them to have access to these archival materials. Some researchers especially those doing research on behalf of government and are not government officials feel they are inconvenienced to have the required information that is needed on the Application Form for membership and for not allowing them to borrow the materials for some time.

In 2002, Kemoni investigated the utilization of archival information by the University of Nairobi researchers and the extent to which their information needs were met by the Kenya National Archives and Documentation Service (KNA&DS). The major findings of the study revealed that researchers used a variety of information sources to satisfy their information needs and that some of the existing access regulations need review. The study also found that the researchers relied more on archives personnel to access information, that the existing KNA&DS promotional methods were not effective and that both researchers and archives personnel faced problems in accessing and providing information. Among the recommendations of the study are that the KNA&DS needs to review some of the access regulations like the payment of the prescribed fees for members of the public to have access to the public archives or obtain copies of extracts from the archives, introduce a user education programme, devise new promotional methods, and conduct information user studies.

Blais (1995) asserted that user charges for researchers in archival institutions were bringing about a lack of compatibility with principles of access to information. He further argued that initiation of user fees as a measure to offset cost increases or decreases in funding, making researchers penalized for the price of the services over which they have no direct control. Most researchers' perception is that archival institutions being public institutions must provide access to information without cost resulting into difficulty of collection and considerable opposition towards user fees, and an added problem of non-payment, loss of researchers, and even non adherence to the practice by staff.

In a major study of user charges conducted in the SADC countries by the Rand Corporation (1996), researchers found that user charges deterred individuals from utilizing archival institutions and researchers opted to use internet services as opposed to using archival materials. At first glance, user fees seemed to be a reasonable and effective way of having funds for effective service delivery. User fees, it is argued discourage necessary use of facilities and allows users to divert from archives to using internet services readily available and that can be accessed anywhere.

## **CHAPTER 3**

### **3.0 RESEARCH METHODOLOGY**

#### **3.1 Introduction**

Chapter three describes the study design, area of study, sampling size and procedure in sampling. The reader also introduced detailed data collection methods and procedures in sampling, the research process and statistical analysis method used in the study and also looked at ethical considerations.

#### **3.2 STUDY DESIGN**

Collection of data in this study was a case study methodology as it looked at a particular organization within a practical situation of how researchers perceive access regulations in the usage of archival materials. The case study method was applicable in this study because it was used to examine the issue of whether or not researchers are aware of access regulations in the usage of archival materials. The case study research was based on both qualitative and quantitative research as a great deal can be learnt from the phenomena Kombo and Tromp, (2006). Yin, (1984) refers to case study research method as an empirical inquiry that investigates a contemporary phenomenon within its real-life context. Case studies are complex because they generally involve multiple sources of data. The advantages of the case study method are its applicability to real life, contemporary, human situations and its public accessibility. Qualitative method answered questions about what, how or why, while Cooper and Schindler (2001) submits that quantitative method involves measurement in terms of quantities or numbers. According to Shuttleworth (2008) qualitative research can generate meaningful results with a small sample group as a way to reinforce and evaluate findings of a larger scale.

#### **3.3 AREA OF STUDY**

The study was carried out at the National of Zambia Headquarters situated in Ridgeway area as records that are in the Records Centres are still semi current records and are not accessed by members of the general public but by institutions that created them.

They only become archives once they have been appraised and have been transferred to National Archives of Zambia headquarters because they have value.

The reader therefore, targeted fifty (50) researchers who are paid up with valid reader's tickets, or Government officers doing research on behalf of Government and were utilizing the search room from December, 2014 to March 2015.

### **3.4 SAMPLE SIZE AND PROCEDURE**

The target population for this study comprised researchers who were utilizing the National Archives of Zambia search room. The sample size comprised fifty (50) researchers. This was done between the months of December, 2014, January, February and March, 2015. These were given as they were walking into the search room and some were talked as well. Their questions were structured in a manner that amplified the statement of the problem, research objectives as well as providing the research questions.

### **3.5 DATA COLLECTION METHODS AND PROCEDURES**

The main method of collecting data technique in this study was self-administered questionnaires from fifty (50) researchers. The questionnaires contained both open-ended and closed ended questions.

### **3.6 DATA ANALYSIS**

Resnik (2011) refers to data analysis as the process of systematically applying statistical and logical techniques to describe and illustrate, condense and recap, and evaluate data.

Quantitative data is usually analysed using a range of descriptive and inferential statistical procedures. Data was analysed using Statistical Package for Social Sciences (SPSS) in order to see how results related to the research objectives were investigated. The sampling technique applied on the researchers was purposive sampling. This was used as it allows targeting a particular institution and people reliable for the study with information that is required for in-depth analysis related to the research Kombo and Tromp (2006).

### **3.7 ETHICAL CONSIDERATION**

Researchers should consider ethical norms when conducting research according to Resnik(2011). This research therefore, endeavored to adhere to the code of conduct of doing research outlined by the Directorate of Postgraduate and Graduate Studies of the University of Zambia.

There was informed consent from the researchers before they took part in completing the questionnaire and had an option of taking part or not if they decided not to take part. They were also advised that they were free to withdraw if they felt to do also but also advised to inform the questioner if they were unable to return the questionnaire at the time it was expected. To ensure confidentiality, their identities were not disclosed as they were informed from the onset about the nature and purpose of the study. Only registered members using archival materials at the time the research was being conducted were given questionnaires and were not coerced. They were assured that the information they were providing was strictly going to be used for academic purposes.

## CHAPTER 4

### 4.0 FINDINGS AND ANALYSIS OF THE DATA

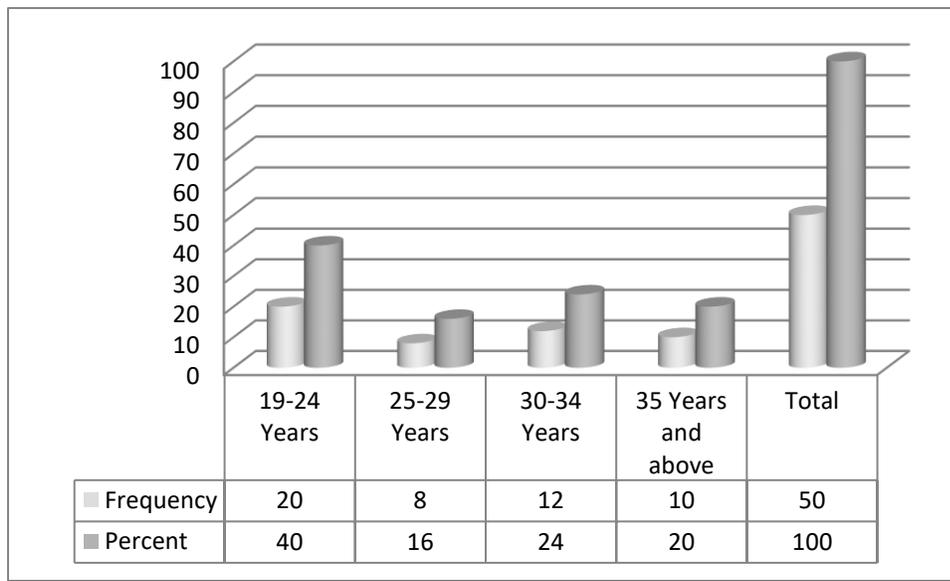
#### 4.1 Introduction

Chapter four presents the research findings from the questionnaire and interviews that were done with some of the researchers. The findings are presented using tables, graphs, photographs and narrations. A total of fifty (50) copies of the questionnaires used for this study were administered and all the fifty were duly completed and returned representing a return rate of 100%.

#### 4.2 Profile of respondents

##### 4.2.1 Distribution by age group

**Graph 1: Shows the distribution by age group**



In the study, 27 males representing 54% and 23 females representing 46% took part in the research survey, while 40% of the researchers were in the age group between 19 and 24 years, 16% were in the age range between 25 and 29 years, 24% were in the age range between 30 and 34 years while 20% was in the age range of 35 years and above.

#### 4.2.2 Area of Research

*Table 1: Shows the area of research*

	Frequency	Percentage
Social Science	16	32
History and Geography	13	26
Computer Science	8	16
Language (Education)	6	12
Religion	3	6
Science	2	4
Technology	2	4
<b>TOTAL</b>	<b>50</b>	<b>100</b>

Research findings on the area of research in table 1 showed that 16 (32%) of the researchers were researching in Social Sciences, 13 (26%) in History and Geography, 8 (16%) in Computer Science, 6 (12%) in Language, while those researching in Religion were 3 (6%) and 2 (4%) in Science and Technology respectively.

#### 4.2.3 Purpose of the Study

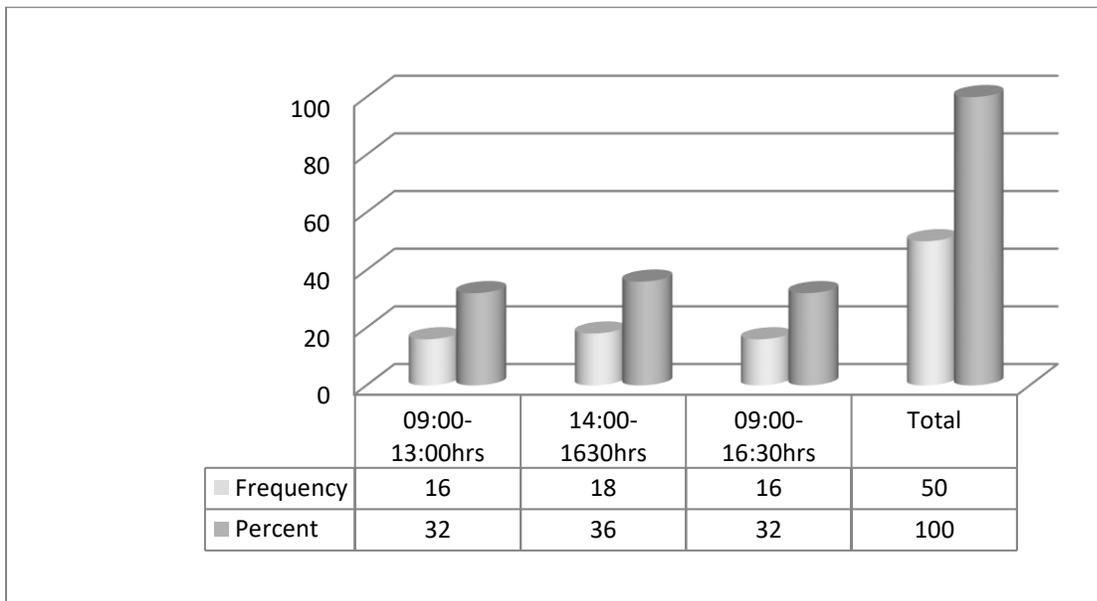
*Table 2: Shows the purpose of study*

	Frequency	Percentage
Academic Requirement	20	40
Expose Development Gaps	15	30
Historical purposes	10	20
Leisure	5	10
<b>TOTAL</b>	<b>50</b>	<b>100</b>

Research findings on the purpose of study table 2 indicated that 20 (40%) of the researchers take research as a mere academic requirement while 15 (30%) take research to expose development gaps, 10 (20%) of the researchers carryout research for historical purposes while 5 (10%) of the researchers do it for leisure.

#### 4.2.4 Opportune Time for Research

**Graph 2: Shows the opportune time for research**



The results in Graph 2 shows that 18 (36%) of the respondents' opportune time for research was between 14:00hrs to 16:30hrs while those who carried out their research between 09:00hrs to 13:00hrs were 16 (32%), with another 16 (32%) carrying out their research between 14:00hrs to 16:30hrs.

#### 4.2.5 Level of Education

*Table 3: Shows the level of education*

	Frequency	Percentage
Professor	1	2
PhD	1	2
Masters Degree	17	34
Undergraduate Degree	28	56
Diploma	3	6
<b>TOTAL</b>	<b>50</b>	<b>100</b>

When the researchers were asked on their educational levels, the findings in table 3 showed that 1 (2%) was a professor, 1 (2%) had a PhD, 17 (34%) were Masters Degree holders, 28 (56%) were Undergraduate Degree holders, and 3 (6%) were Diploma holders.

#### 4.2.6 Level of education help in research

*Table 4: Shows the level of education help in research*

	Frequency	Percentage
Understanding of research methodology	20	40
Locate relevant materials	10	20
Access research materials	7	14
Expert information seeking behaviour	13	26
<b>TOTAL</b>	<b>50</b>	<b>100</b>

The results on how the level of education help in research in table 4 shows that 20 (40%) helps researchers understand research methodology, 10 (20%) helps them locate relevant materials, 7 (14%) helps them access research materials and 13 (26%) the level of education assists in expert information seeking behavior.

### 4.3 EDUCATION IN RELATION TO RESEARCH

#### 4.3.1 Researchers' perception on the importance of education in fostering archival research

*Table 5: shows the importance of education in fostering archival research*

	<b>Frequency</b>	<b>Percentage</b>
Enhances gathering new data for primary or firsthand sources of information	21	42
Provides expert knowledge that makes research easy	15	30
Enhances understanding of research tools	10	20
Creates a basic understanding of research tools	4	8
<b>TOTAL</b>	<b>50</b>	<b>100</b>

The findings on researchers perception on the importance of education in fostering archival research in table 5 shows that 21 (42%) of the researchers think that education enhances gathering new data for primary or firsthand sources of information, 15 (30%) think that education provides expert knowledge that makes research easy, 10 (20%) think that education enhances understanding of research tools while 4 (8%) think that education creates a basic understanding of research tools.

#### 4.3.2 Education in relation to delivery of performance

*Table 6: Shows education in relation to delivery of performance*

	<b>Frequency</b>	<b>Percentage</b>
Education makes it quicker to access archival materials	7	14
Education makes researchers independent users	17	34
Education reduces time wasting in accessing research materials	21	42
Education makes researchers exploit archival materials efficiently and effectively	5	10
<b>TOTAL</b>	<b>50</b>	<b>100</b>

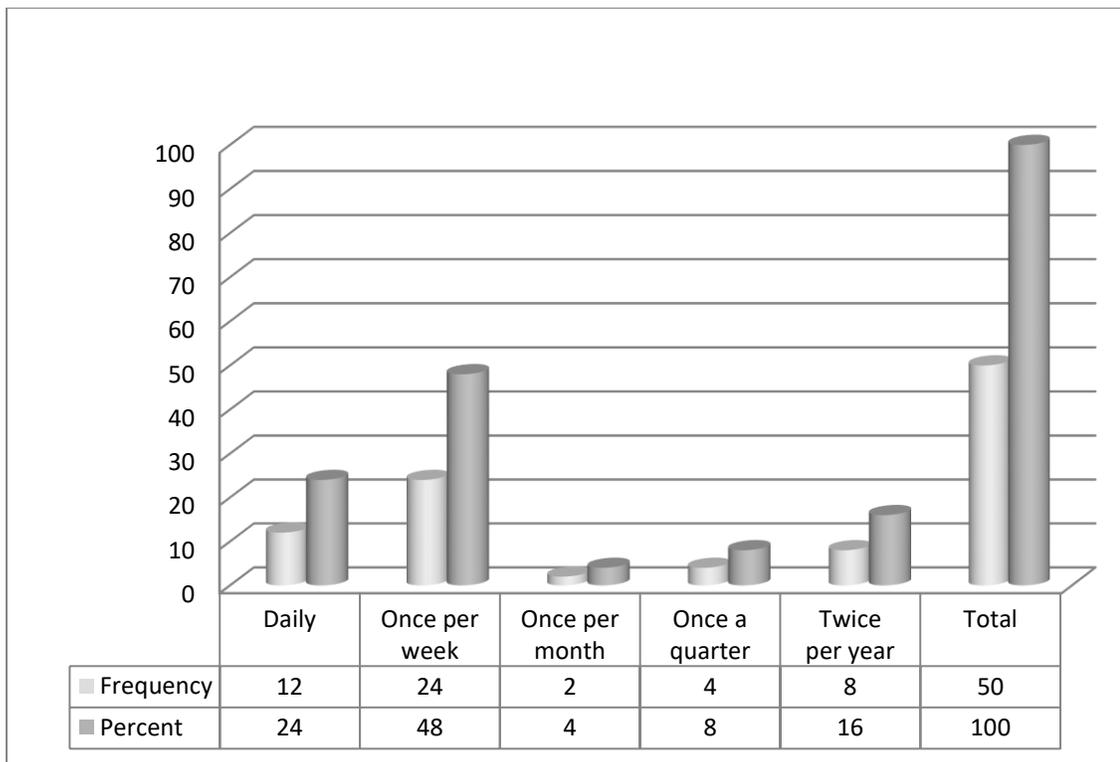
Researchers were also asked to best describe education in relation to delivery performance of archival materials at the National Archives of Zambia. From the research findings in table 6 above, the results show that 7 (14%) of the researchers think that education makes it quicker to access archival materials, 17 (34%) think that education makes researchers independent users of

archival materials, 21 (42%) also think that education reduces time wasting in access research materials, while 5 (10%) of the researchers also think education makes researchers exploit archival materials efficiently and effectively.

#### 4.4 USAGE OF ARCHIVAL MATERIALS

##### 4.4.1 Frequency of usage of archival materials

*Graph 3: shows the frequency on the usage of archival materials*



The findings on the usage of archival materials in graph 3 shows that 12 (24%) of the researchers use archival materials daily, 24 (48%) use archival materials once per week, 4 (8%) use archival materials once a quarter and 8 (16%) use archival materials twice per year. The least users were those that used the materials once per month represented by 4% as shown in the figure above.

#### 4.4.2 Importance of archival materials in research

**Table 7: Shows the importance of archival materials in research**

	<b>Frequency</b>	<b>Percentage</b>
archival materials add a great value to what you write and give a unique perspective	6	12
archival materials may help uncover new evidence in support of ones' work	7	14
archival materials ensure that historically significant records are systematically described and wherever possible available for a variety of research uses	23	46
Provides authenticated data	14	28
<b>TOTAL</b>	<b>50</b>	<b>100</b>

The findings on the importance of archival materials in research in table 7 shows that 6 (12%) of the researchers think that archival materials add great value to what they write and give a them a unique perspective, 7 (14%) of the researchers think that archival materials may help uncover new evidence in support of their work and 23 (46%) of the researchers think that archival materials ensure historically significant records are systematically described and wherever possible available for a variety of research uses, while 14 (28%) think that it provides authenticated data.

## 4.5 RESEARCHERS' PERCEPTION TOWARDS ACCESS REGULATIONS IN THE USAGE OF ARCHIVAL MATERIALS

### 4.5.1 Promotion of access regulations in the usage of archival materials

*Table 8: Shows the promotion of access regulations in the use of archival materials*

	Frequency	Percentage
access regulations safeguard integrity of archival resources	9	18
Access regulations promotes respect of archival staff	5	10
access regulations protect rare and fragile archival materials	14	28
access regulations enables one to know the specific user of a particular material	6	12
Prevent theft	10	20
Access regulations ensures cleanliness of archival materials	2	4
Access regulations ensures usage of archival materials is restricted from unnecessary usage	4	8
<b>TOTAL</b>	<b>50</b>	<b>100</b>

When determining the importance of access regulations in the usage of archival materials, table 8 shows that 9 (18%) of the researchers think that access regulations are important in safeguarding the integrity of archival materials, 5 (10%) of the researchers think that access regulations are important in promoting respect of archival staff, 14 (28%) of the researchers think that access regulations help protect rare and fragile archival materials, 6 (12%) of the researchers think that access regulations enables one to know the specific user of a particular material, 10 (20%) of the researchers think that access regulations prevent theft of archival materials and 2 (4%) of the researchers think that access regulations ensure cleanliness of archival materials, while 4 (8%) of the researchers think that access regulations ensure usage of archival materials is restricted from unnecessary usage.

#### 4.5.2 Access regulations hamper use of archival materials

**Table 9: Shows access regulations hamper use of archival materials**

	<b>Frequency</b>	<b>Percentage</b>
Access regulations are cumbersome to researchers	29	58
Access regulations do not hamper research	6	12
Access regulations restrict usage of public archives	15	30

Table 9 above shows how access regulations hamper the usage of archival materials and the findings reveal that 29 (58%) of the researchers think that access regulations are cumbersome to researchers, 6 (12%) think that access regulations do not hamper research while 15 (30%) think that access regulations restrict usage of public archives.

#### 4.6 REGULATIONS WHICH RESEARCHERS THINK SHOULD BE REVIEWED

##### 4.6.1 Regulations that hinder research

**Table 10: Shows regulations that researchers think hinder research**

	<b>Frequency</b>	<b>Percent</b>
Government official has to be recommended by HOD	4	8
Each reader only allowed 3 documents at a time	12	24
Reader not allowed to access the repository	2	4
Use of other devices not allowed	4	8
All Government employees doing research to have introductory letters	7	14
Payment of readers research fees	10	20
Only pencils allowed in research room	2	4
No food allowed in the search rooms	1	2
No caps allowed in the search rooms	1	2
Readers to leave bags at security check point	2	4
Readers to be denied access if actions are contrary to rules governing the use	5	10
<b>TOTAL</b>	<b>50</b>	<b>100</b>

The findings in table 10 on regulations that researchers think hinder their research shows that 4 (8%) of the researchers think that government officials who need to be recommended by their Heads of Departments hampers their research, 12 (24%) think that the three documents allowed at a time hampers research, 2 (4%) readers not allowed access to the repository hampers their research, 4 (8%) think that the restriction on use of other devices hamper research, 7 (14%) think that all government employees doing research to introductory letters hampers their research, 10 (20%) think that payment of readers research fees hampers research, 2 (4%) of researchers think that use of pencils and readers to leave bags at security checkpoint hampers their research, 5(10%) of the researchers think that readers to be denied access if their actions are contrary to rules governing the use archival materials. The least were no food and caps allowed in the search room at 1 (2%) respectively.

## **CHAPTER 5**

### **5.0 PRESENTATION AND DISCUSSION OF THE FINDINGS**

#### **5.1 INTRODUCTION**

Chapter five discusses the research findings based on objectives of the research. The findings hold huge potential on upholding access regulation in archival institutions based on what has been brought out from the questionnaires. The issues under discussion include educational levels of researchers, usage of archival materials, perception of researchers towards access regulations and perceived regulations that hampers researchers.

#### **5.2 EDUCATIONAL LEVELS OF RESEARCHERS**

Education is important in almost all aspects of life and it has also been recognized as a universal human right as it promotes individual freedom and empowerment, and yields important development benefits as well as helps develop individual personality and full potential. It also prepares individuals to participate in society and to do work that is rewarding and reasonably remunerative, and to continue learning throughout life. As such, the research focused on education's contribution towards research. The levels of education in research are important in fostering research and therefore, it was important to find out if both male and female have some form of education and which category of age group they fall in, their area of research, the purpose of their study, opportune time for research, level of education and how it helps in research, importance of education and its relation to delivery of performance.

According to the findings of this study, the majority were males representing 54% and females with a representation of 46% took part in the research survey with ages ranging between 19-24 years as those who patronize the archives mostly representing 40%, followed by those who are between 30-34 years and 35 years and above, with least being those who are between 25-29 years. The findings further showed that 32% of these researchers were researching on Social Sciences with the rest researching on History and Geography, Computer Science, Language, Religion and the least being in Science and Technology at 4% respectively. The findings also showed that 40% of the researchers research for academic purposes with 30% researching to expose development gaps and the rest for historical purposes and leisure.

Most of the researchers' (36%) opportune time for research is usually carried out between 14:00hrs and 16:30hrs while others carry out their research between 09:00hrs to 13:00hrs and 09hrs-16:30hrs respectively implying that most researchers prefer to carry out their research in afternoons. The majority 56% of the researchers at the National Archives of Zambia are undergraduate degree students who use archival materials for academic purposes while the rest are master's degree students, diploma, PhD and Professor.

A similar study conducted by Ermissse (2002) at the Archives de France revealed that both the young and old researchers use archives although the older ones use them more. This was attributed to the fact that most of the people under the age 30 years were engaged in activities that does not require much research as they were still at secondary schools and colleges. These findings are different the findings of this study as most of the researchers were those between the ages 19-24 and are undergraduate students. The reason could be that the population of Zambia has more youths who are undertaking tertiary education which requires research than those who are older and have achieved their educational fulfillment. This study therefore, reveals that there is a relationship that exists between the level of education and the use of archival materials as the researchers at National Archives of Zambia are mainly undergraduate students as can be shown even in the representation of the age group that carries research there. It is also testimony to the fact that access to archives provides users just, fair and timely information without discrimination. Many different categories of persons use archival materials regardless of their content, form or age. This means that those with higher knowledge levels are expected to understand the value attached to archival materials. Education would help in enhancing one's understanding of research tools. The findings further revealed that (40%) of the researchers find that education helps understand research methodology. It also helps in locating relevant materials, accessing them and also assists in expert information seeking behavior.

The findings compliment with the study by Abiola (2009) which revealed that searchers with varying level of education which is holders of higher degrees, first degrees, undergraduates and certificate holders used records in the National Archives of Nigeria for research, informational, litigation and administrative purposes.

Another study conducted by Gentry (2012) on the role of education in fostering research in which he sampled 2,500 researchers of various backgrounds and age to determine the role of education in research in five African countries showed that researchers who patronized their

archives were from Australia, New Zealand, Germany, Britain and Uganda. The findings revealed that 1,600 (64%) of the researchers believed that education was an essential tool that made the understanding of research tools and methodology easier.

He further argues that research tools and methods were slightly technical and required knowledge in order to open up the mind and creates understanding and confidence that assists in self-help when conducting research. Hence education is equally important in conducting archival research and in selection of archival materials that are needed in one's research. Education is important in fostering research. The study revealed that 42% of the researchers said that education enhances gathering new data for primary or firsthand sources of information. This is contrary Kohengkal (2009), in his research on the importance of education in research for high school students in Japan found that education was crucial in research as it created skills, values, beliefs and habits that make research on archival materials easy to conduct. In his study, 57% of the respondents said that education as an important tool that enhances understanding of research tools. Hence other than looking at the impact of education in gathering primary data the study showed that education is crucial for understanding how research tools are used in locating information hence making access to information easier.

The study further revealed that 30% of the researchers perceived education as a means of providing expert knowledge that makes research easy. Education provides learned knowledge especially for broadening understanding and perception of things and influences how things are done. It offers a certain perspective that creates an informed view of things. **Hastings (1975)** in his research on impact of education in research, a case of third world countries revealed that education provides the wheels upon which research can rest on as it simplifies an understanding on accessing research facilities.

Furthermore, the study revealed that 42% of researchers at National Archives of Zambia believed that education in relation to performance delivery reduces researcher's time wasting in accessing research materials. This means that education creates a certain understanding of the research environment that makes users of archival materials depend on self help in finding the information crucial to their research. Lack of understanding of research guides creates delays in accessing research materials. Moreover, education makes communication in terms of inquiring for information easier.

Young (2007) in his studies investigated the role of literacy in guiding users to the right information in libraries and archives found that 48% of the users of archives and libraries needed some level of education to broaden their understanding of the search room so as to reduce time wasting in accessing materials. He further explains that this does not only reduce time wasting on part of the users but also makes it easier for archives staff to probe users easily concerning their requirement in order to access information and serve them better.

Studies conducted by Cox (1983) also reveal that education reduces time wasting in accessing archival materials and that it is cost effective for one with a good level of education to conduct research as understanding of search tools and location of vital information that is known by Archivists to aid the continued self-study, reevaluation and progress. This is made possible by an accurate understanding of search tools and interpreting them or what the searcher needs correctly to archival staff for easy retrieval hence fostering quick access and reduction on time wasting in accessing research materials. Researchers with good levels of education (vocational, special or academic) had odds of accessing research materials in archives increase by 13% than those that are not educated or have no educational levels. These findings are not different from the findings of this study as education is regarded key to any research.

### **5.3 USAGE OF ARCHIVAL MATERIALS**

Research findings showed that archival materials are used at different intervals by researchers as most of the researchers with a representation of 48% use archival materials once per week. The findings further show that the archival materials are important as the most (46%) of the researchers think they ensure that they are systematically described and wherever, possible they are available for a variety of research, while others think they add great value to what researchers write and it gives them a unique perspective. These materials are used to help uncover new evidence in support of their work. The findings further reveal that archival materials are important in research as they are used for various reasons as they contain primary source information and provide authenticated data. These findings are different from those of Kemoni (2002) which established that the majority of searchers in Kenya National Archives and Documentation Services used archival information for research work.

This may be attributed to the fact that these researchers at National Archives of Zambia who mainly were Social Science students use archival information for academic work as their expectations were responded to in the quickest time possible, due to the kind of information held in the archives and the value that is attached to this information. This is in line with Mukula (1981) who submits that archives are a source of valuable information and indeed the memory of the nation. The conditions on the use of these archives could be favourable to their needs, as for instance, if they meet the condition to have access to research, they will not spend time selecting what they want that best meets their needs. This is amplified by Penn and Pennix (1994) who further submitted that archival institutions should facilitate the orderly arrangement of archival information for its easy accessibility and retrieval for use. Furthermore, archival institutions should ensure that there is proper care of records of enduring value.

#### **5.4 PERCEPTION OF RESEARCHERS TOWARDS ACCESS REGULATIONS**

The study revealed that 28% of the researchers, who are the majority, thought that access regulations help protect rare and fragile archival materials and 20% thought that access regulations prevents theft and loss of these materials as they are usually unique and require proper handling. The findings further showed that access regulations promote respect of archival staff, ensure cleanliness of archival materials, enable one to know the specific user of a particular material and ensures that the usage archival materials is restricted.

These findings compliment the views in the literature by Ellis (1993) who suggested administering access to archival materials involves establishing procedures which will ensure that legislative requirement are upheld and that records are protected from theft, damage and re-arrangement.

These rules and regulations set the conditions under which subsequent services will be provided therefore, it is important that access regulations are upheld in order to protect these archives as they are usually unique. David (1995), with regard to how access regulations are perceived in archival institutions in South America, an initiative of the Information Security Centre coordinated programme found that 79% of the researchers using archives and public libraries actually perceived access regulations as not very necessary in facilitating research but that they were a mere tool to give more authority to archival materials.

Yahya (1979), in his studies on the problems in the archival institutions faced by archival staff in Africa discovered that 51% of the respondents believed that access regulations to archival information were not based on good taste to protect rare and fragile materials but that they were perpetuated by oppressive regimes and governments in Africa who had a culture of restricting information outflows to protect their oppressive governments. However, Ourgay (1991), in his research on the use of archives in Ethiopia, found that 66% of the researchers viewed access regulations as a tool used to protect rare and fragile materials and it was the duty of the archival staff and the government to put in place legislation and mechanisms that would ensure length and lifespan of records for future generations to use them as well. This is in line with the findings of the study which revealed that most of the researchers (28%) believed access regulations were useful in protecting rare and fragile archival materials. This could be based on the value that researchers attach to archival information and the fragile nature of documents that are, but as matter of space should be preserved permanently, hence without appropriate access regulations damage would inevitably occur on the documents.

Furthermore, the study reveals access regulations as hampering the usage of archival materials as 58% of the researchers agree to the regulations as being cumbersome to their research and 30% thinking that access regulations restrict their usage of public archives while 12% of the researchers think that access regulations do not hamper research. A study by Abiola (2009) at the National Archives of Nigeria equally discovered that most of the searchers were aware of access regulations that governed search activities but considered them as repugnant in their research.

A study conducted by Arkhiyyon (1999), access regulations are a source of denying information provision, revealed that 67% of the researchers viewed access regulations as a mechanism aimed at restricting usage of archival materials. The narrowing gap between access regulations and information provision was not entirely understood by searchers of information who believed that archives are public documents that ought to be accessed without restrictions by the public. The cumbersome nature of access regulations and the requirements put in place before using archives demotivated searchers who ended up using other modes of information apart from archives. However, Bucland (1991), argues that most of the researchers (44%) of the users of archives and archival institutions believe that access regulations do not restrict usage of public archives, instead they greatly contribute to actually achieving a conducive research environment that ensures proper access to archival facilities and services.

He further, states that the success of any archival functions and services discharge depends to a large extent on the implementation of well-established access regulations.

Ellis (1993) further stressed that access legislation alone does not protect the record. Access legislation requires or should require that any record created by government and still in existence will be made available to the public upon request. Access legislation does not require that any record created must be kept or for how long. Without a requirement that governments create and protect records of important transactions and decisions, the public has no recourse when such information cannot be made available.

### **5.5 PERCEIVED REGULATIONS THAT HAMPERS RESEARCH**

Regulations are put in place to protect archives and ensure that right procedures and processes are in place to govern the use of archives. However, despite the good intentions in trying to prolong the lifespan of archives, certain access regulations are viewed by researchers as bent on hampering the use of archival materials. The findings of this research showed that 24% of the researchers who are the majority thought restricting them to use a certain number of documents at a time per request for the information they requested for was not ideal. This revealed that the enforcement of these regulations usually brings about constant conflict between the archives staff and the researchers who fail to understand why such regulations are put in place and advocated for the review of these regulations in order to meet their needs. 20% of the researchers thought payment of research fees may impact negatively as some researchers may not meet this requirement but urgently require archival information. 8% of the researchers thought that the requirement which involves asking government officials to be recommended by their respective Heads of Department is not a good idea and should be reviewed in the sense that some Heads of Departments may not be interested in the various researches being undertaken and therefore, may be reluctant to be recommended and advocated for a review of these regulations.

However, for safety and security of archival materials, most researchers agreed that food should not be allowed, readers should be allowed to leave their bags at the security check point and that caps should not be allowed. 10% of the researchers were not in agreement with the regulations on denying them access if their actions were contrary to rules governing the use as they considered them to be hampering their research and recommended that they be reviewed as well.

The requirement involving payment of researcher's fees is in line with Badgley (1979) who asserted that user charges for researchers in archival institutions were bringing about a lack of compatibility with principles of access to information.

He further argued that initiation of user fees as a measure to offset cost increases or decreases in funding, making researchers penalized for the price of the services over which they have no direct control. The study also conducted by SADC countries by Rand Corporation (1996) is also in line with the research findings where researchers found that user charges deterred individuals from utilizing archival institutions and researchers opted to use internet services as opposed to using archival materials.

Despite the above views, security of archives is of paramount importance in any archival institution. This probably explains why notable early archivists regarded the safeguarding of archives as the primary duty of an archivist (Jenkinson, 1937; Schellenberg, 1965). Eternal vigilance is, therefore, the key to the survival of archives. The presumption is that in the presence of any laxity, every searcher is a potential delinquent user of archives. It is therefore, necessary to put certain measures in place to safeguard the archives and this, precisely, is what some of these regulations seek to achieve.

## **5.6 CONCLUSION AND RECOMMENDATIONS**

In conclusion, it should be noted that archives are unique and rare materials which require regulations to protect and guide their access. Hence the people who use archival materials should have a certain level of education to appreciate the value of these materials. It was also discovered that most researchers used archival materials at once a week, while a few used these materials either daily or once per month. The majority of researchers were also thought that access regulations help in safeguarding these materials require being safeguarded and well-handled due to their heavy usage, can be damaged, misplaced or stolen and will be difficult to be replaced. It is therefore, prudent to have proper legislation on their access in order to uphold these rules and regulation on their access. Regulations are put in place to protect archives and ensure that right procedures and processes are in place. There are, however, some regulations that researchers viewed to be hampering their research as they thought being restricted to a certain number of documents at a particular time made them wait for a while for them to have the requested documents.

The National Archives of Zambia should not relent in improving on what has been seen as a conflict between the researchers and the archival staff but should endeavor to safeguard archival materials as this is their primary duty as archivist. In this regard, the following recommendations have been put forward:

## **5.7 RECOMMENDATIONS**

- There is need to increase the number of three documents per request that each reader can access at a time to five.
- There is need to review some of the conditions under the access regulations in order to enhance research.
- There is need to promote archival activities so as to increase access to archival materials as most researchers agreed that archival materials ensure that historically significant records are systematically described and whenever possible available for a variety of research uses.
- There is need to promote user education as education reduces time wasting in accessing research materials.
- There is need for further sensitization of researchers on the value of archival materials and activities so as to encourage more researchers to attach value to archives in their research and daily problem solving scenarios other than for them to take it as a mere fulfillment of academic requirement.
- There is need for the National Archives of Zambia to conduct workshops and seminars during which services offered by the institution should be explained so that researchers and members of the general public including government officials appreciate the role archival materials play as not everything that is requested for can be given at one time.

## REFERENCES

- Abiola, A. (2009). *Searchers' Perception of Access Regulations in Nigerian National Archives. Library Philosophy and Practice.*
- Adams, M. (2006). *Freedom of Information and Records Management in Ghana, African Journal of Library, Archives and Information Science (1): p. 29-38.*
- Akakandelwa, A. (2000). *An Assessment of User Education in Academic Libraries: The case of the University of Zambia.* Dissertation MLIS. The University of Botswana.
- Arkhiyyan, A. (1999). The Legal Status of the Archival Holdings of the Tracy/Service in Aronsen. *Reader in Archives Studies and Documentation 10-11.p.xxvii-xxxvi*
- Battaglia, M. (2008). *Convenience Sampling.* Sage Journals. Available at <http://srm.sagepub.com>. Accessed on 23/06/14
- Blais, G. (1995). *Access to Archival Records. A Review of Current Issues.* A Ramp Study. (RAMP Study CII-95/WS/5) Paris, FR: UNESCO.
- Barnes, J.A. (1954). *Politics in a Changing Society.* Cape Town: Oxford University Press.
- Burke, F. "The Future Course of Archival Theory in the United States," *American Archivist 44* (Winter 1981), 42-45.
- Buckland, M.K. (1991). Information as a Thing "Journal of American Society for Information Science 42. No. 2. p.351-360
- Chibambo, M I.N (2003). *Records Management: The Key to Good Governance and Sustainable Development.* Available from <http://dnb.d-nb.de>. Accessed on 23/06/14
- Cook, M. (2009). *Managing Archives:* London: International Records Management Trust.
- Cooper, D.R. and Schindler, P.S. (2001). *Business Research Methods. 7<sup>th</sup> ed.* New York: McGraw-Hill/Irwin. Available at <http://ci-journal.net/index.php/ciej/article/view/322/319>. Accessed on 19/06/14

- Cox, J. R. "American Archival History: Its Development, Needs and Opportunities," *American Archivist* 46 (Winter 1983): 31
- David, B. (1995). "Archival Strategies", *The American Archivist*. Vol. 58, Society of American Archivists, *Estats-Unis*, p.413
- Dube, T. (2011). *Short Communications: Archival Legislation and the Challenge of Managing International Council on Archives*, Vol. 30, ISN: 0376-4753.
- Ellis, J. (.ed). (1993). *Keeping Archives*, Thorpe; Port Melbourne.
- Ermissé, G. (2002). Survey on Users of French Archives in *How Does Society Perceive Archives Abstract*. Paris: ICA
- Gann, L.H. (1956). "Archives and the Study of Society", *Rhodes-Livingstone Journal*, 20 (1956). 49-67.
- Gentry, D.S. (2012). Promoting Multicultural Competence in Master's Students and Improving Teaching Using Action Research. U.S.A.: University of Toledo.
- Gibson, C. (2000). "The Importance of Legislation in Archival Development: The Belize experience", in G. K. Muchen (ed). *Basic Archival Problem: Strategies for Development*. London: New Providence.
- Graham, I. M. and Halwindi, B. C. (1970). *Guide to the Public Archives, Vol. 1 (1895-1940)*. Government Printer: Lusaka.
- Hamooya, C. (2009). *Awareness and Usage of Archival Information at National Archives of Zambia: Zambia Library Association Journal*, 24 (1 and 2) p. 44-52.
- International Council on Archives (2012). *Principles of Access to Archives*. Paris: France
- International Records Management Trust (1999). London: United Kingdom
- Jenkinson, H. (1937). *A Manual of Archives Administration*, London: Percy Lund, Humphries & Co. Ltd.

- Kashweka, K. (2008). *Archival Legislation and the Management of Public Records in Sub-Saharan Africa: The case of National Archives of Zambia: Zambia Library Association Journal*, 23 (1 and 2)13-22.
- Kemoni, H. N. (2002). *The Utilisation of Archival Information by Researchers in Kenya: A case study of the University of Nairobi. African Journal of Library, Archives and Information Science: 2002 12(1)69-80.*
- Kepley, D.R. (1988). Reference Service and Access, In Bradsher, J.G. (ed.) *Managing Archives and Archival Institutions*. London: Mansell.
- Ketelaar, E. (1985). *Archival and Records Management Legislation and Regulations: A RAMP Study with Guidelines. (RAMP Study PGI-85/WS/9)*. Paris, FR: UNESCO.
- Kohengkal, S (2009). Influences of Strategies, Knowledge sharing and Knowledge transfer on the success of University School development. Japan: Ministry of Education. Available on line on [www.aabr.com](http://www.aabr.com). Accessed on 21<sup>st</sup> May, 2015.
- Kombo, D. and Tromp, D. (2006). *Proposal and thesis writing: An introduction*, Nairobi: Paulines Publications Africa.
- Leedy, P. (1997). *Practical Research: Planning and Designing* 6<sup>th</sup> ed. New Jersey: Prentice Hall.
- Lipachak, A. (2002). *Information Management to support Evidence Based Governance in the Electronic Age. A Public Policy Forum Discussion Paper. Executive summary [online]. Available from [http://ppforum.ca/common/assets/publications/en/ow\\_p11\\_2002b\\_es.pdf](http://ppforum.ca/common/assets/publications/en/ow_p11_2002b_es.pdf)* Accessed on 18<sup>th</sup> June 2014.
- Lutzger, M. (1982). Max Weber and the Analysis of Modern Bureaucratic Organisation: Notes toward a Theory of Appraisal, *American Archivist* 45 (p.130.)
- Mainga, M. (1973). *Bulozi under the Luyana Kings: Political Evolution and state formation in Pre-Colonial Zambia*. PhD. Thesis, University of Cambridge. U.K.
- Meebelo, H. (1971). *Reaction to Colonialism: A prelude to Politics of Independence in Northern Zambia, 1893-1939*. Manchester: Manchester University Press.

- Miller, L. (2003). The Right to Information, the Right to Records: the Relationship between Record Keeping, Access to Information and Government Accountability. Available from [www.humanrightinitiative.org/programs/ai/articles/record\\_keeping\\_ai.pdf](http://www.humanrightinitiative.org/programs/ai/articles/record_keeping_ai.pdf). Accessed on 20/02/14
- Mukula, P.M. (1981). A More Than Three Decade-Service of the Memory of the Party, its Government and Nation. (1947-1981) Lusaka: Government Printers.
- National Archives of Zambia Act (1995). Laws of Zambia. Lusaka: Government Printers.
- National Archives of Zambia (2013). Readers Notes-Search Room Regulations. Lusaka: National Archives of Zambia.
- Nicholls, J. M. (2000). "Guide vs. Gatekeeper": Information Rights Legislation and the Provincial Archives of Manitoba). A Masters Degree Thesis. Canada: University of Manitoba
- Okello-Obura, C. (2011). Records and Archives Legal and Policy Frameworks in Uganda. Library Philosophy and Practice. *Available from [www.webpages.unidaho.edu](http://www.webpages.unidaho.edu)>lep2011. Accessed online on 05/04/15.*
- Oluwadare, I. B. (2006). Accessibility and use of library resources by part-time students: A case study of the Federal Polytechnic, Ado- Ekiti: Nigeria. *Library Review*, 55(2), 148-156.
- Ourgay, M. (1991). Libraries in Ethiopia Before 1900. *International Library Review* (23)
- Penn, I.A. and Pennix, G. (1989). Records Management Handbook, New York: Penguin.
- Rand Corporation, (1996). *Access to Health care facilities: continuing inequalities in the distribution of health facilities. Journal of Public Health Medicine* 18(2).33-40
- Resnik, P. (2011). Fundamentals of Qualitative Research. London: Dorling Kindersley.
- Roberts, D. A. (1973). A History of the Bemba: Political growth and change in North-Eastern Zambia before 1900. London: Longman Press.
- Roberts, J. (1987). "Archival Theory: Much Ado about Shelving," *American Archivist* 50.
- Schellenberg, T.R. (1975). Modern Archives: Principles and Techniques, Melbourne: Cheshire.

Schenkelaars, F. and Ahmed, I. (2004). *Digital Access and E-Government: Perspectives from Developing Countries*, IGI Global; New York, U.S.A.

Shuttleworth, M. (2008). *Qualitative Research Design*. Available on [http://explorable.com/qualitative research design](http://explorable.com/qualitative-research-design). Accessed online on 04/05/2015

Tessler, C.Z. (2014). Privacy, Restriction and Access: Legal and Ethical Dilemmas. *SLIS Student Research Journal*, 4(1). Retrieved from <http://scholarworks.sjsus.edu/slissrj/voliss1/5>. Accessed online on 04/05/15

Tomlinson, S. (2011) *Public Access to Legislative Drafting File Records Management Journal* Vol 21: ISS 1

Valge, J. and Kibal, B. (2007). Restrictions on Access to Archives and Records in Europe: A History and the Current Situation. *Journal of the Society of Archivists*. Vol 28, Issue 2, 2007.

Whitmaire, E. (2002). Academic Library performance measures and undergraduates' library use and educational outcomes. *Library & information Science Research*, 24, 107-28.

William, L. J. (1984). "Archivists and Research Use", *American Archivist*. 47, 2. 124-133.

Yin, K. (1984). *The Case Study as Research Design and Methods*. CA; Sage: Newbury Park.

Yahya, A. (1979). *The National Historical Archives, a feasibility Study for Ethiopia*. Ethiopia: Addis Ababa.

Young, K.U. *Evaluation of the Bringing Them Home and Indigenous Mental Health Programs: Final Report* (May 2007) 79-80.

## Appendix 1: Data collecting instrument

### QUESTIONNAIRE

#### Instructions:

- Please tick the appropriate answer to the question;
- Where the question requires you to write the answer, please do so in the space provided;
- There is no or right answer and
- Confidentiality will be upheld throughout the study.

#### Section A.

##### Researchers' background profile

1. Sex

1) Male [ ]

2) Female [ ]

2. Age

1) 19-24 years [ ]

2) 25-29 years [ ]

3) 30-34 years [ ]

4) 35 years and above [ ]

3. What is your area of research?

.....

.....

.....

.....

4. What is the purpose of the study?

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

5. What is your opportune time for research?

- 1) 09:00hrs – 13:00hrs [ ]
- 2) 14:00hrs – 16:30hrs [ ]
- 3) 09:00hrs – 16:30 [ ]

6. What is your level of education?

- 1) Professor [ ]
- 2) PhD [ ]
- 3) Masters Degree [ ]
- 4) Undergraduate Degree [ ]
- 5) Diploma [ ]

7. How does your level of education help in your research?

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

**Section B:**

**Education in relation to research.**

8. Why is education important in fostering archival research?

- 1) Education requires one to research gathering new data from primary or firsthand sources of information. [ ]
- 2) Education provides expert knowledge that makes research easy. [ ]
- 3) Education enhances the understanding of research tools. [ ]

4) Education creates a basic understanding of search tools. [ ]

9. How would you best describe education in relation to delivery performance of archival materials at National Archives of Zambia?

1) Education makes it quicker to access archival materials. [ ]

2) Education makes researchers independent users of archival materials [ ]

3) Education reduces time wasting in accessing research materials [ ]

4) Education makes researchers exploit archival materials efficiently and effectively [ ]

5) Any other reason specify

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

**Usage of archival materials**

10. How often do you use archival materials?

1) Daily [ ]

2) Once per week [ ]

3) Once per Month [ ]

4) Once a Quarter [ ]

5) Twice per Year [ ]

11. Why are archival materials important in your research?

1) They add a great value to what you write and give you a unique perspective [ ]

2) You may be able to uncover new evidence in support of your work [ ]

3) They ensure that historically significant records are systematically described and wherever possible, available for a variety of research uses [ ]

4) Any other reason specify

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

**Access regulations in the use of archival materials.**

12. Why should access regulations be promoted in the usage of archival materials?

1) Safeguard the integrity of archival resources [ ]

2) Promotes respect of archival staff whose job is to protect archival resources [ ]

3) Protect rare and fragile archival materials [ ]

4) Need to know the specific user of a particular material [ ]

5) To avoid theft of archival materials [ ]

6) To ensure that archival materials are clean [ ]

7) To restrict the usage of archival materials unnecessary [ ]

8) Any other reason, specify

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

13. How do access regulations hamper the use of archival materials, if at all they do?

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

**Regulations that hinders research.**

14. Indicate which regulations you think should be reviewed in order to facilitate research and give reasons why they should be reviewed.

1) A government official has to be recommended by his/her Head of Department.

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

2) Each reader is allowed only three documents at a time.

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

3) Readers are not allowed to access the repository.

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

3) Use of other devices (cameras, scanners, photocopiers) is not allowed unless with approval by authorized staff.

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

4) All government employees doing research on behalf of government should come with introductory letters from their respective Ministries /Departments.

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

5) Payment of research fees for issuance of reader's ticket must be made before one starts their research.

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

6) Only pencils are allowed to be used in the search room when accessing archival materials.

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

7) No food is allowed in the search room.

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

8) No caps are allowed in the search room.

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

9) Readers are required to leave their bags at the security check point. (Reception)

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

10) Readers will be denied search room facilities if there is a reason to believe that their actions are contrary to the rules governing the use of the public archives of Zambia.

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

11) Any other

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

## **Appendix 2: Face to face interviews**

### **INTERVIEWS WITH RESEARCHERS**

- Do you know about access regulations in archives?
- Why do you use archival materials?
- Do you think the three documents you request at a given at time are sufficient or not?
- Does the National Archives of Zambia Readers Note (Conditions of Access) need to be reversed?

## Appendix 3: Secondary sources

### READERS NOTE

# NATIONAL ARCHIVES OF ZAMBIA

## READERS'S NOTES

---

### RECORDS IN CLOSED PERIOD

1. According to CAP 175 OF THE LAWS OF ZAMBIA, 1995 edition, a public document becomes an archive after a closed period of 20 years. During this period, they are a private property of offices that created them.
2. Legal deposit materials and publications, e.g. Newspapers which are deposited within the National Archives of Zambia under CAP 161 Of THE LAWS OF ZAMBIA do not fall within the closed period, and as such they can be consulted from time to time.

### RECORDS IN OPEN PERIOD

3. Normally, the records are open to the public for research after they have been closed for twenty years.
4. However, one must have a varied ticket to use them. A ticket entitling you to use the facilities in the research room is given after an application form has been duly completed and approved. The ticket is valid for the length of time the researcher has applied for. Renewals must be made when the ticket expires.
5. **Researchers should adhere to the following conditions:**
  - (a) Readers must use only pencils;
  - (b) **Readers must never tear papers/pages from any research materials. This is a very serious offence.**
  - (c) Each reader is only allowed three documents at a time and after reading them , they must be handed back to the search room invigilator,
  - (d) Readers are advised to use Latex gloves when handling archival materials.
  - (e) Readers should fill in a request form for use of Scanners and Cameras.
  - (f) Readers are not allowed access to the repository;
  - (g) Requests for documents must be made on form NA 17A provided by the invigilator;
  - (h) Silence must be observed in the reading room at all times;
  - (i) No caps are allowed in the search room.
  - (j) No food is allowed in the search room.
  - (k) Reader are required to leave their bags at the security check point;

- (1) Readers will be denied search room facilities if there a reason to believe that their actions are contrary to the rules governing the use of the public archives of Zambia.
6. Books in the National Archives of Zambia Library are deemed as reference books and as such cannot be borrowed. They can only be consulted within the search room. Readers should the books on the Tables after reading.
7. Photocopy services are offered at a reasonable fee.
8. The National Archives cannot provide typewriters, pencils and sheets of paper. Researchers are required to provide themselves with such things.

## TIME OF OPENING

**Monday to Friday: 09:00 to 16:30 Hours**

### **NOTE**

**Closed on Saturdays, Sundays and Public holidays**

# CONDITIONS FOR ISSUE OF READERS TICKETS

---

9. Readers should obtain an application form from the invigilator. The applicant must be recommended by one of the following:-
  - (a) A government official has to be recommended by his/her Head of Department;
  - (b) An employ can be recommended by the employer;
  - (c) In case of unemployed Zambian , the recommendation should come from people working at senior levels who know him /her personally;
  - (d) A university student should be recommended by his /her Head of Department;
  - (e) A university lecturer should be recommended by the Dean of School;
  - (f) Pupils /students , require recommendation from their headmaster/Principal;
  - (g) NON Zambians must bring a letter of introduction from their institutions and another from either The University of Zambia or other recognized institution in Zambia;
  - (h) Diplomats must bring a letter of introduction from the ministry of Foreign Affairs.
11. Readers are required to pay a fee for the ticket. The fee depends on duration the reader wants to use the archival facilities.







