



**COURSE
GUIDE**

**LIS 310
RECORDS MANAGEMENT AND ARCHIVES
ADMINISTRATION**

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INTRODUCTION

Welcome to **LIS 310: Records Management & Archives Administration**. This is a two-credit (2-CR) unit course which is compulsory for all the undergraduate students in the department. As individuals preparing for careers in library and information science, records management, information resources management and archival administration, you need to have a clear understanding of how the concept of a record has changed and how systems governing the creation and use of records have changed and are changing. This course material is designed to enable you to read and understand the purpose of managing records which is to meet the operational needs of an organization or individual, allowing it to function effectively. While the records are meeting these needs they are in 'active use.' When they are no longer needed in active use, they are reviewed to decide which should be selected to become part of an archive collection.

COURSE OBJECTIVES

By the end of this course you will be:

- i. know the difference between the responsibilities and activities of archivists and records managers
- ii. understand the influences of the institutional contexts in which documents are created, used and retained.
- iii. recognize the changing nature of the document over time and technology.
- iv. have the basis on which to analyze the context in which documents are created, in order to evaluate the authenticity of the document, its value for retention, its likelihood of survival and its management for later use.

WORKING THROUGH THIS COURSE

In order to complete this course, students are obligated to join in both the theoretical and practical parts of the course. Students are expected to read the study units very well, attempt all assessments, study all books recommended and all other related materials that would boost their knowledge and skills in the course unit provided, participate in discussion forums in the virtual learning environment and prepare for assignments and examination when required.

Based on the structure of the course, each study unit is classified into the following sub-headings: introduction, intended learning outcomes, the main content, summary, conclusion, tutored--marked assignment and references/further readings. The introduction, indicates a summary of

what the unit discussed. It is expected that, students would read and familiarise themselves with the intended learning outcomes (ILOs) which gives an idea of what students are expected to complete in each study unit. This will help the students to appraise their learning processes at the end of each unit. To complete the intended learning outcomes, the content of each segment is presented in modules and units.

The videos and links provided in this course unit is to support and strengthen the students in the study of LIS 310: Records Management and Archival Administration such that, the student will not have to struggle with areas of the course unit that are not clear to them. Kindly copy and paste the link address as indicated in each study / course unit into a browser and follow the instructions as shown on the YouTube while watching the video. There are portions where you might skip in order to avoid adverts, to get to the main content, please do and listen attentively as the video plays. There are segments where you will have to read offline, make notes and jot down points that could re-direct you back to what you have already studied and extent covered in the entire course unit. If possible, it is advisable you download the videos to view as offline, as that will save you data and time when you want to visit the site online again.

You can also download and print the entire manuscripts for the LIS 310 course study for easy accessibility and reading whenever you want to study. This will give you free space where you will not have to open your computer all the time. Otherwise, if you are good at reading digitally, download and save the course material in your computer, mobile phones or an external hard drive in order not to download always. Each topic discussed in each unit outlines essential recap of the points that need to be considered, thus serving as a guide to other parts of units in the entire journey of the study. The conclusion takes the student to the pinnacle of the study and salient points or lesson that need to be taken into consideration in the unit being discussed.

In each unit, two key forms of assessments are required-the formative and the summative. The formative assessments indicate how the students will evaluate their learning processes. These are presented in the form of in-text questions, discussion forums and Self-Assessment Exercises. The summative assessment is to evaluate the student's academic performance. This would be summarized in Computer-Based Test (CBT) which serves as continuous assessment and final examinations for the course. A minimum of three computer-based tests will be given with only one final examination at the end of the semester. You are required to take all the computer-based tests and the final examination.

STUDY UNITS

There are 13 study units in this course divided into four modules. The modules and units are presented as follows:

Module 1 Records Management

- Unit 1 Concept of Records Management
- Unit 2 Records Management Processes

Module 2 Records Storage Equipment

- Unit 1 Records Storage
- Unit 2 Records Filing System
- Unit 3 Records Disposition

Modules 3 Archives

- Unit 1 Concepts of Archives
- Unit 2 Types of Archives
- Unit 3 History of Archives

Module 4 Archive Management

- Unit 1 Principles of Archives
- Unit 2 Theory of Archive Management
- Unit 3 Archival Practice
- Unit 4 Arrangement and Description of Archives (Part One)
- Unit 5 Arrangement and Description of Archives (Part Two)

PRESENTATION SCHEDULE

In order to have a clear understanding of what the course material entails, a presentation schedule is provided. The presentation schedule directs the student on essential dates to take note of especially in the completion of computer-based tests, assignments, discussion forum and every other materials and videos that need to be examined. Remember that the submission of all your assignments must be timely and appropriate as stated in the course study. Please, there is need to guide against delay or postponement and plagiarism while attending to your class work/assignment. Note that, plagiarism is a criminal offence in academics, as such it should be avoided at all cost because it amounts to weighty or serious punishment.

Note: The student will earn 10 marks if he/she meets a minimum of 75% participation in the course study, discussion forum and portfolios, or else the student will lose the 10 marks in their total score. The student is expected to upload their portfolio through Google Doc. The expectation of students in their portfolio consists of the notes made during their time of study of each of the course unit and modules made available to them. This comprises of all activities and time spent from the beginning to the end of the course of study in the entire duration of this course LIS 310: Records Management and Archives Administration.

ASSESSMENT

Two core forms of assessment are required in this course in order for any student offering this course to pass. The first assessment is the various Tutor-Marked Assignment (TMAs) that are included in each study unit. Students are strongly advised to attend to them without delay, so that they do not pile up, otherwise it could discourage them from advancing to the next stage of another study unit. The TMA is part of the continuous assessment. It amounts to 30% of the total scores from the cumulative. Therefore, students are instructed to be serious with it, because it will aid their passing the course. The TMAs will be scheduled according to the University calendar hence, students do not need to panic. The second assessment will be the final examination, which will cover everything that was taught in the course LIS 310. Students are encouraged and advised to adhere to all slated calendar in the University such that, they do not miss the examination.

FINAL EXAMINATION AND GRADING

On completion of this course, students will be required to sit for the examination of the course LIS 310 Records Management and Archival Administration. The duration of the examination will last for 2-hours and the grade point of the course is 70%. Most of the questions that will be given to students are what they already had in their self-assessment of the TMAs, as such they need to familiarize themselves with the course content through continuous practice of the questions and serious reading of their course materials. This will enable them have good grades after finishing the course. Students are also advised to use their time judiciously so that, they do not miss any of the study unit and assessment. It is expected that, the Tutor-Marked Assignment would enable the students to study very well as everything in the course is covered, even before the final examination.

COURSE MARKING SCHEME

This table represents the layout of total course marks

Assessment	30% (Undergraduate) 40%(Postgraduate)
Final Examination	70% (Undergraduate) 60% (Postgraduate)
Total	100% course work

FACILITATION

You will receive online facilitation. The facilitation is learner centred. The mode of facilitation shall be asynchronous and synchronous. For the asynchronous facilitation, your facilitator will:

- Present the theme for the week;
- Direct and summarise forum discussions;
- Coordinate activities in the platform;
- Score and grade activities when needed;
- Upload scores into the university recommended platform;
- Support and help you to learn. (In this regard personal mails may be sent);
- Send videos, audio lectures and podcasts to you.

For the synchronous:

- There will be eight hours of online real time contacts in the course. This will be through video conferencing in the Learning Management System. The eight hours shall be of one-hour contact for eight times.
- At the end of each one-hour video conferencing, the video will be uploaded for viewing at your pace.
- The facilitator will concentrate on main themes that are must know in the course.
- The facilitator is to present the online real time video facilitation timetable at the beginning of the course.
- The facilitator will take you through the course guide in the first lecture at the start date of facilitation

Do not hesitate to contact your facilitator. Contact your facilitator if you:

- do not understand any part of the study units or the assignments.
- have difficulty with the self-assessment exercises.

- have any question or problem with an assignment or with your tutor's comments on an assignment.

Also, use the contact provided for technical support.

Read all the comments and notes of your facilitator especially on your assignments; participate in the forums and discussions. This gives you the opportunity to socialise with others in the programme. You can discuss any problem encountered during your study. To gain the maximum benefit from course facilitation, prepare a list of questions before the discussion session. You will learn a lot from participating actively in the discussions.

Finally, respond to the questionnaire. This will help the university to know your areas of challenges and how to improve on them for the review of the course materials and lectures.

**MAIN
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MODULE 1 RECORDS MANAGEMENT

- Unit 1 Concepts of Records Management
- Unit 2 Records Management Processes

UNIT 1 DEFINITION OF CONCEPTS

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- 1.0 Introduction
- 2.0 Intended Learning Outcomes (ILOs)
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1.0 INTRODUCTION

This module serves as an introduction to records management practices, definition of records; elements of records management, the characteristics of records. The records management process was also discussed.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

- define Records; Management
- explain the historical overview of records management
- list the importance of records management
- explain the benefits of records management.

3.0 MAIN CONTENT

3.1 Definition of Records

Records are the sum total of all documentary materials regardless of their physical form (books, registers, folders) created or received and maintained by an organization or any other entity in connection ,with business transactions or other activities it is engaged in. On daily basis,

we produce records in our personal lives and in our offices. These records are grouped uniquely and systematically by the generating agents.

There are five (5) types of records. They are:

1. Personnel records: These types of record contain information about the employees of the organization. These are very important records in every organization especially during disasters or when there is an incidence of fraud, personnel records could be used to track the employee. Also it can be used to track an individual's employment history. It is also known as employee records where every information about an employee is recorded, for example, year of birth, certificates, position in the organization, number of children if married, etc
2. Administrative records: These records are used in carrying out enterprise functions and activities. This is where decisions taken in an organization are recorded. How the activities of the organization will be executed is recorded here. Regular meetings are held by the executive arm of the organization and its minutes are taken and kept in the administrative records.
3. Fiscal records: This is also known as financial records. These records can be used to trace how funds are generated, how budgets are made and disbursed. Every transaction that has to do with money is captured in fiscal records. You know that money is the engine house of any organization, if it is not well accounted for the organization may fold. Such a record should be well kept.
4. Legal records: These are records pertaining to petitions, complaints, motions and other papers filed in any case, transcripts or testimony taken by the court and findings. Any document that may be required in a law court to prove or disprove a case should be jealously kept. Records of any court case won or lost must be kept. Any document that may be required for litigation must be kept intact.
5. Historical records: This is also referred to as archival records. History of past activities of an organization should be safely kept for future purposes. We should not forget the times of humble beginning. A big company today might have started in a small way; historical records show this. Historical records are also called archival records because they are records to be exhumed to know the past.

According to ISO 15489-1 (2016), records are information created, received, and maintained as evidence, and information by an organization or person, in pursuance of legal obligations or in the transaction of business. Organizations create, receive and process tremendous amount of information daily. A record is invariably linked

to an organization's authorized profession and maintained as evidence. Without records, an organization may be seen as non-existing and may end up not having direction. Records remind us of the past so as to emulate the good things done in the past or to avoid the mistakes of the past.

Physical Attribution of a Good Record

Genuineness, consistency, integrity and usability are the physical characteristics of a good record. The essence of any records management policy, practices, guidelines and procedures is to ensure that all the manuscripts created or generated as records should have these features:

- **Genuineness** - Genuineness is about the authenticity of any record, it has to be what it purports to be, that is, it must be original in all ramifications. It must be impossible to get a copy, it has to have been generated or referred by the person supposed to be the creator or owner (especially art works), and finally it has to have been created or sent at the purported time. Genuineness has to do with originality. Nowadays there are a lot of fakes, how do we distinguish the real from the fake, original from adulterated, pure from polluted? These are genuine questions that are begging for answers.
- **Consistency** - This is when the reliability of a record is established, when the content can be trusted as a full and accurate representation of the transactions, activities or facts to which they attest and it can be dependent upon the course of subsequent transactions or activities. Consistency means continuous, without changing.
- **Integrity** - The veracity of a record is when the record is presented complete and unaltered and there are no fake copies in circulation. Integrity has to do with trust. Can people trust the source of the document? Has the institution or organization done anything suspicious before that raises the dust of distrust?
- **Usability** – This is when records can be easily traced, accessed, presented and interpreted when the need arises. Can the material be safeguarded? Can it be easily produced? Can it stand the test of change from one hand to the other? If the answers to these questions are YES, then the material has passed the test of usability.

What is Management?

Management has numerous definitions from different people. Harrod Koontz defined management as the act of getting things done through

others and with formally organised groups. Another is by scholar Peter Drucker, he defined management as a multipurpose organ that manages a business, managers, workers and work. To manage means to be in overall control or charge of something or someone. Management is the skill or practice of leading, controlling, planning, or directing something or somebody. The person who does this is a manager.

Management Basics

The first assumption is that once an individual is a manager, he/she is assumed to be a leader meaning the first person in the organization.

Functions of management include:

- **Planning:** Before one builds a house, he/she must have a building plan (a sketch) and must think of how much it will take him/her to finish it otherwise the house will be abandoned half way. Activities or duties to be done in an organization must be mapped out and divided on how they should be done.
- **Staffing:** Who are the ones to accomplish the task? Staffing has to do with knowing who does what, what type of people are to be engaged to accomplish the planned activities, their qualifications and skills. You must get the right people; square pegs on a square hole.
- **Organising:** Arranging how work should be done is what is called organising. A manager should know who does what and organise them that way. There is nothing that annoys workers more than when some are working and others are idle. The cause is lack of organising the duties.
- **Controlling:** When workers are not controlled, they do whatever they like. Workers are controlled when duties are assigned to them. The manager should be able to settle quarrels.
- **Leading:** A manager is good if he is leading well. A good leader is an exemplary leader; he shows the example of what his subordinates should do. He should know all aspects of the job.
- **Budgeting:** Money does all things except to bring someone back from death. But money without the person to make proper use of it is nothing. One cannot use money when it is not available. A good company or organization cannot spend money except it has been budgeted. Management ensures that every section of an organization sends its budget to the administration. Budget is a proposal of income and how it would be spent. Budgeting is the act of stipulating income and expenditure.
- **Reporting:** Management reports its activities to the body that set it. Whether the subordinates are doing well or not should be reported to the administration. Reports are mostly from the subordinates to those in the higher radar.

Records Management

The term records management refers to the planning, budgeting, organizing, directing, training, and control involved in managing the life cycle of records in any medium. The objective of records management is to certify that all papers, manuscripts, raw data and information generated and turned into records are managed and maintained in a manner that meets all internal and external business needs of the creating company. It ensures that records comply with all regulatory and statutory requirements; defends the institution and its people against external demands and is capable of providing primary and secondary evidence of transaction or business process which is admissible in court of law. Records management ensures that records are kept and maintained in the most economical way; meets all environmental and other requirements and are finally destroyed or transferred in a way that is auditable.

The International Standard Organization (ISO, 2016) defined records management practices as the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records. Records management practices entail activities such as:

1. Setting policies and standards;
2. Assigning responsibilities and authorities;
3. Establishing and promulgating procedures and guidelines;
4. Providing a range of services relating to the management and use of records;
5. Designing, implementing and administering specialized systems for managing records;
6. Integrating records management into business systems and processes.

3.2 Historical Overview of Records and Records Management Practices

Record management assumes a tactical position in the efficient and effective management of any entity. Records management could be dated back to the history of humans because the need for memory is an integral part of survival (Nwaomah, 2013). Records keeping could be traced to the ancient days when Papyrus, Stones, Clay tablets, Parchments, Potsherds (ostraca) were used to document information in order to manage history and human activities. According to Duranti (1993), senior staff of organisations might have been delegated the task of memorizing business deals, policies and transferring them to their subordinates through recitation. This method is usually not accurate because of human memory lapses. This eventually led to the

intervention of pictorial depiction of events to aid in the management of human activities.

According to Read and Ginn (2011), records in the ancient times were maintained through Hieroglyphics on the rocks, walls and caves, and in the forms of artifacts and relics. They also noted that majority of the records prior to the advent of printing in 1440 AD were hand-written to create proofs of financials transactions. The invention of writing, typewriter and computer have all transformed records keeping and led to increase in the volume and diversity of records, which gave rise to the need for record security.

Schellenberg (1934) suggested how records management practices could be accomplished. He developed the records cycle in which he argued that records are like human beings and not static as they appear to be. He argued that records are “born, live through youth and age before eventually dying”. Records play vital and significant roles in our individual lives. What Schellenberg wrote about records in 1934 is still applicable and relevant today.

Types of Records Management Practices

ISO (2016) International records management standard defined record as “information created, received, and maintained as evidence and information by an organization or person in pursuance of legal obligations or in the transaction of business”. There are various types of records been managed by several institutions of higher learning and organizations. This section of the study examined active and inactive types of records?

Active Records: These are records required to execute current operations, subject to frequent use, and are usually accessible to the user. They are records used on daily or weekly basis. They are active because they are not stale. Records that appear to not be used daily but are still needed are retained in basements, stores or offsite where they can be reached without wasting time.

Inactive Records: These are records that are no longer required to conduct current business but are being preserved and conserved until the end of the retention period, such as when a project ends, a product line is retired or the end of a fiscal reporting period is reached. These records may hold business, legal, fiscal or historical, administrative or a combination of all. Records are managed according to the retention schedule in an organization. Retention schedule means as long as the record is viable, as long as the record is useful and useable. Once the life cycle of records has been satisfied according to its predetermined period and there are no legal holds, the records may be subject to transfer, or permanent preservation (Elizabeth & Geoffrey, 2003).

Records as a Corporate Memory

Records constitute part of organizations' memory because it is impossible for records managers to remember everything. This fact is attested to by scholars (Read & Ginn 2011). The records that are created in day-to-day business activities are the raw materials for future decisions and planning. As human beings, memory is bound to fail and we are unable to remember all past events: likewise organizations are bound to suffer memory loss too if there are no documented records. Organizations cannot depend on the obscure memory and conflicting recollections of its workforce and the reality of loss of staff either by change of job, death, retrenchment, retirement hence, records management becomes critical. Records serve as the chain of communication between the past and future generations. Records management is important when history is involved thus it can be used as a tool to describe an event of that had occurred in the past. Records, therefore serve as the memory of an organization.

Importance of Records Management

Records management is important because it supports an entity that created it in achieving its aim and goal in:-

- making decisions based on evidence;
- meeting operational, legal and regulatory requirements;
- being open and accountable;
- enhancing operational efficiency and effectiveness; and
- maintaining organization or collective memory.

Benefits of Records Management

1. Records management is a key driver in increasing an organization's effectiveness by reducing the time employees spend searching for information.
2. Easy accessibility to information: When records are managed well, it will be easy to access and retrieve such information.
3. Good records management tends to improve decision-making time.
4. It eliminates or reduces the unnecessary duplication of information.
5. Reducing the quantity of unnecessary information stored makes it easier for staff to concentrate on managing the useful information.
6. Records management helps to Identify the duration records need to be persevered and conserved before they can be destroyed or transferred to the archival repository.

7. Storage cost is reduced. Storage space expenses associated with servicing information requests for information that the organization does not need to keep.
8. Optimizes the legal admissibility of our records and by so doing help protect the staff and organization from malicious litigations.

Legal admissibility of records proves the authenticity of the information in the record. In this 21st century, electronic records are the “golden copy”, and records in this particular format present special challenges such as technology malfunction and virus attacks. It is important that appropriate consideration is given to the legal admissibility of our records both the paper and the electronic. Identify how long the records are needed and by so doing you also identify those records that are needed in the medium and long term. Records management helps to identify those sensitive records that needs to be protected for future use. This is where preservation and conservation of records comes into action.

4.0 SUMMARY

In this unit, we defined records as any document or source of information compiled, recorded or stored in written, printed or electronic form. We also discussed the characteristics of records. The term management was defined and functions of management were listed. From the definitions of these two words, record and management, we were able to define records management which according to The International Standard Organization (2011) is the management of efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. We also discussed the importance and benefits of records management. There will be no management without a manager; this was slightly looked at.

5.0 CONCLUSION

In conclusion, we can agree that since records are created, received and maintained for our use then the management of these records is also paramount. When records are managed properly decisions are made based on evidence; we will be able to meet all operational, legal and regulatory requirements in our organizations and also enhance the operational efficiency and effectiveness of our daily activities. Records management did not start now, it started long ago and we are just keeping up.

SELF ASSESSMENT EXERCISE

What is Records Management?

6.0 TUTOR- MARKED ASSIGNMENT

1. What do you understand by records management?
2. Describe the two types of records you studied in this unit
3. What are the benefits of records management?
4. State the importance of records management?

7.0 REFERENCES/FURTHER READING

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UNIT 2 RECORDS MANAGEMENT PROCESSES

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 - 3.2 Records Management Maturity Level
 - 3.3 The Records Continuum Model
- 4.0 Summary
- 5.0 Conclusion
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1.0 INTRODUCTION

This unit presents the records management process which includes the concepts of records life cycle, the records continuum concept and the records management maturity level. The intricacies of the concepts of records life cycle are treated. Records are expected to have a life cycle like that of human beings – born, grow, and die. Before record dies there are processes to pass through and the processes must be well managed otherwise records will miss or die untimely death.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

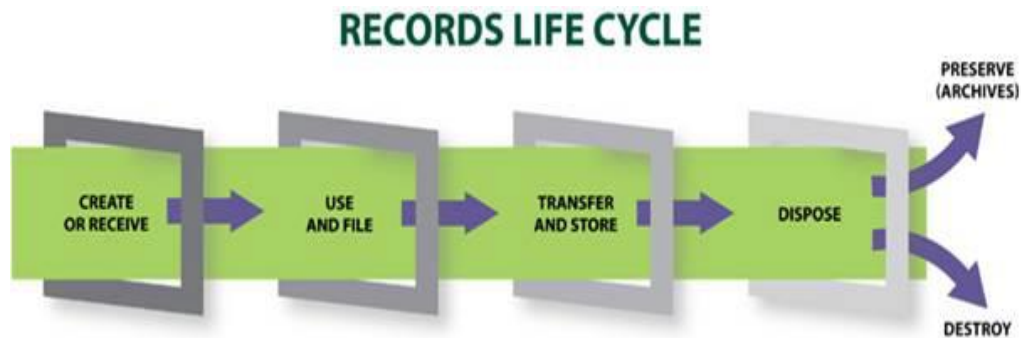
- explain the differences between the records life cycle, the records continuum concept and the records management maturity level.
- explain the processes that records undergo before it dies or it goes to the archives. able to draw the records life cycle according to some proponents of the concept.
- outline how records are used and disposed of.

3.0 MAIN CONTENT

3.1 Records Life Cycle

The life time of records includes their current use and final disposition. The records life cycle model propounds that all records are not stagnant rather; they have a nucleus just like any living organisms. Just like human beings, records are born (records creation/receipt) they go through youthful phase (records use and maintenance) they grow old

(records transfer to archives) and eventually die (records disposition/ destruction) (Shephard & Yeo, 2003). The records life cycle describes advancement of actions taken at every stage in the life of a record; characteristically, its creation, maintenance and use, retention and disposal.



Source: UW- Madison Archives and Records Management – 10 Step Plan for Org Records 2015

Records creation: Every organization creates records on a daily basis. Records creation which is seen as its conception is the first in the phases of the records life cycle. According to Ndenje-Sichalwe et al (2011), this is accumulating or incorporating records into a record keeping system. According to Yusof and Chell (1999) in Nwaomah (2013), records creation and capturing involves developing consistent laws to ensure integrity and accessibility, deciding on systems to log and track records and measures for registering, classifying and indexing records.

Records maintenance and use: In records lifecycle model, maintenance and use of the records is the second phase. It involves having control of the use and usefulness of information in the organization to ascertain its validity and reliability over a period of time. Maintenance and use of records also involves the storing records in a way that ensures ready accessibility of needed records, the cost-effective use of current records, locations for the storage of records, selection of supplies. This stage of the records lifecycle calls for a trained records manager whose job apart from developing the filing and retrieval systems includes file management, electronic mail management, the development and maintenance of vital records programmes, selection and management of office copying machines, provides the safety of information, disaster preparedness plans etc. (Garcia, 2011). The records manager should also be charged with advising the middle-level managers on the importance of good records management practices, providing basic human capacity building for employees on recordkeeping duties. This helps to ensure that vital records are protected in the event if any disasters caused by human (Artisan) and natural (war, flood). It is important that records

management policy of institutions of higher learning addresses this to ensure that risks are identified on time and mitigated.

Records Retention and Disposal: According to Ndenje-Sichalwe, Ngulube, & Stilwel (2011) the records manager should be capable of facilitating and implementing decision on retention or disposition of records in any organization. This stage of the records life cycle involves determining how long to retain records (retention schedule), maintaining the records so that they are easily retrievable and usable over the defined time period. Africans easily throw away items they do not need, for example, throwing away left over food, throwing away peels, and leaves. This idea of throwing things not needed away at any available space has crept into their offices. This may be part of the reason why records disposition and retention in developing countries like Africa is not properly developed, this could also be attributable to the fact that the records management model being used is not rooted in Africa.

The purpose of records management practices is to certify that records in any organization's unit are safe for future referral. According to Alegbeleye (2014), universities are motivated to keep their records based on these four reasons discussed below:

Administrative value

This means the records are not needed for current use or work rather, they are maintained because of their administrative value, such records include written reports, speeches or summary of annual reports which can be used to summarize events that had happened previously in the organization.

Financial value

This is also called fiscal value. The fiscal value is used to internally control assets. For example, an audit unit can trail documents used to keep records of financial transactions to show a company's financial status at a particular time. Usually, after clearing the audit for that year, records used can be preserved for archival purposes

Legal value

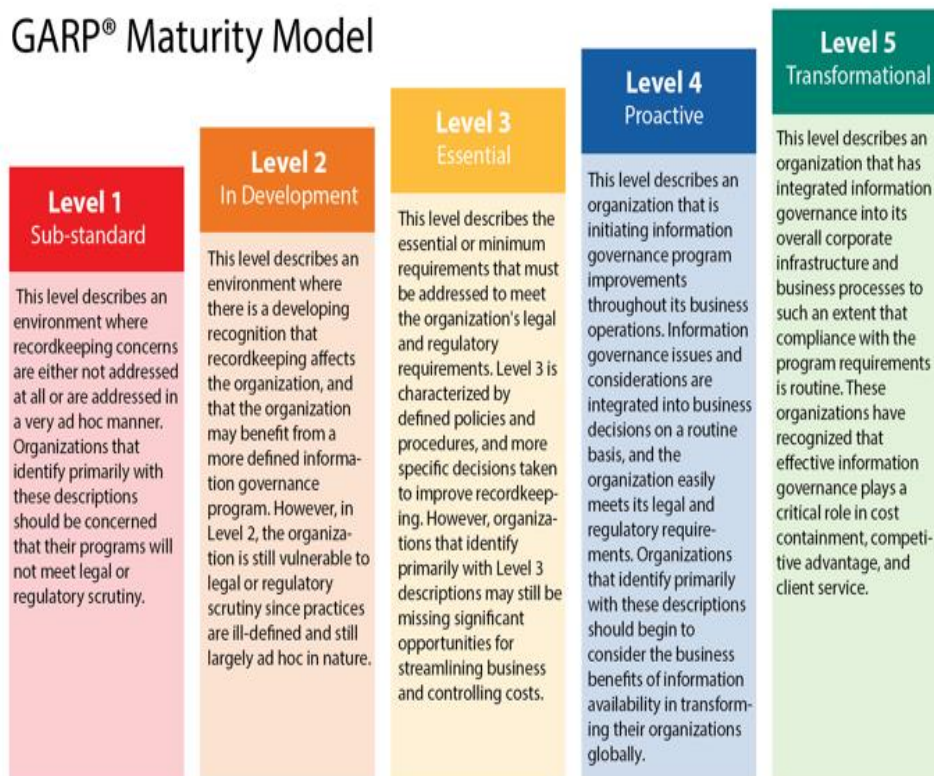
Certain records generated, created, received and maintained in an organization can be retained even after the current use has been exhausted. The retention of the document could be because of the information contained on it. When such information could be useful as proof in the court of law, the document is said to have legal value.

Information value

These records are the corporate memory of the organization, evidence of what was done and why it was done. They provide vital information for different organizational purposes, such as decision-making, financial accountability, performance measurement, strategic planning and research. The information value of record determines if the record possess archival, historical, continuing, research or enduring value. If the information is worth preserving the record then provision would be made for its preservation.

3.2 Records Management Maturity Level

GARP® Maturity Model



The records management maturity level is designed to help institutions recognize that effective records management practices have the potential to enable them to achieve their aim and objectives with compliance to the Freedom of Information Act and other information-related legislations. (JISC Info Net, 2017)

Records vital assets of organizations. Organizations depend on their records because they enhance development of products and services, critical decisions-making, protection of properties and intellectual rights, advertising, projects, transactions processing, customer service, and revenues generation. In spite of its significance, there is often haziness about what constitutes good records, yet, this issue gains its importance daily as all patron and government are increasingly worried about organizations' business practices and the and the non-record information that support and document those practices. To address this, ARMA

(1990) International developed and promulgated the generally accepted Recordkeeping Principles (The Principles).

The accepted records keeping principles pinpoints the critical hallmarks of information and records governance and it delivers both a standard of conduct used for governing information and the metrics by which to evaluate that standard conduct. Because the Principles define and measure fundamental attributes of information governance, they apply to all sizes of organizations, in all types of industries, and in both the private and public sectors. Since the Principles are independent of local law and custom, universities as well as multi-national organizations can use them to establish consistent practices across geographic boundaries. The principles are essential for:

Administrators and executive management in determining how to protect their organizations in the use of information assets

Legislators in crafting legislation meant to provide certainty in business and public affairs and to hold organizations accountable to appropriate standards of conduct

Information management professionals in designing comprehensive and effective information governance programmes

Information workers in performing their day-to-day duties

The records maturity level (Maturity Model) – which is based on the principles, paints a more complete picture of what effective records management practice is. The Maturity Model goes beyond a mere restatement of the Principles, defining the characteristics of information governance programmes at differing levels of maturity, completeness, and effectiveness. For each of the eight principles, the Maturity Model describes characteristics that are typical for its five levels of maturity:

level 1 (Sub-Standard): This level refers to a situation where information governance and recordkeeping concerns are not addressed at all, are addressed minimally, or are addressed in an *ad hoc* manner. Organizations that identify primarily with these descriptions should be concerned that their programs will not meet legal or regulatory scrutiny and may not effectively serve the business needs of the organization.

level 2 (In Development): This level describes an environment where there is a developing recognition that information governance and prudent recordkeeping have an impact on the organization and that the organization may benefit from a more defined information governance programme. However, in Level 2, the organization is still vulnerable to scrutiny of its legal or regulatory and business requirements because its

practices are ill-defined, incomplete, nascent, or only marginally effective.

level 3 (Essential): This level describes the essential, or minimum, requirements that must be addressed to meet the organization's legal, regulatory, and business requirements. Level 3 is characterized by defined policies and procedures and the implementation of processes specifically intended to improve information governance and recordkeeping. Organizations that identify primarily with Level 3 descriptions still may be missing significant opportunities for streamlining business and controlling costs, but they have the key basic components of a sound program in place and are likely to be at least minimally compliant with legal, operational, and other responsibilities.

level 4 (Proactive): This level describes an organization that has established a proactive information governance programme throughout its operations and has established continuous improvement for it. Information governance issues and considerations are routinely integrated into business decisions. The organization is substantially more than minimally compliant with good practice and easily meets its legal and regulatory requirements. The entity that identifies primarily with these descriptions should begin to pursue the additional business and productivity benefits it could achieve by increasing enterprise wide information availability, mining its information for a better understanding of clients' and customers' needs, and transforming itself through increased use of its information.

level 5 (Transformational): This level describes an organization that has integrated information governance into its overall corporate infrastructure and business processes to such an extent that compliance with program requirements and legal, regulatory, and other responsibilities are routine. This organization has recognized that effective information governance plays a critical role in cost containment, competitive advantage, and client service, and it has successfully implemented strategies and tools to achieve these gains on a plenary basis.

Steps Involved in Records Maturity Model

Records Maturity Model is the pioneer in a series of steps an organization should embark on for the evaluation and improvement its information database, control of programs and practices. An in-depth understanding of the Principles and the Maturity Model levels will help the organization target the optimum level to achieve in relation to each principle. Based on defined business needs and risk assessments, an organization may choose to target different levels of maturity for each of

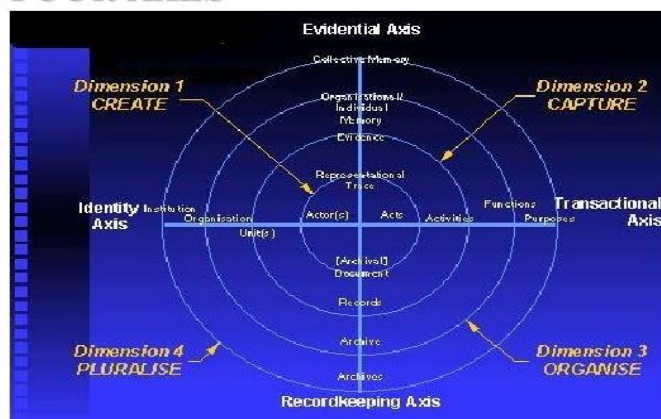
the eight principles and for different areas of the organization. However, no entity should be satisfied with being at a maturity level of 1 or 2 in any area because this presents substantial risk to the overall organization. After deciding whether to evaluate the entire organization or a portion of it (e.g., department, division, or geographic location), the following initial steps are recommended:

1. Based on a thorough understanding of the Principles, the Maturity Model, and the organization's operating needs, target a specific maturity level for each of the principles.
2. Using the Maturity Model, determine the maturity level of current practices and identify the gap between the current practices and the desired maturity level for each principle.
3. Based upon the greatest maturity gaps, most available improvement opportunities, and other relevant information, assess the risk(s) to the organization and the opportunities for greatest benefit.
4. Develop priorities and assign accountability for suitable remediation and improvement strategies and processes.
5. Implement a process to ensure continuous improvement through routine monitoring and periodic assessments.

Since referencing the Maturity Model alone is a high-level evaluation, a more in-depth analysis will likely be necessary in order to develop the most effective improvement strategy. Obtaining the desired improvement will require a continuous focus, commitment to an ongoing improvement process, and periodic evaluations of the program against the Maturity Model.

3.3 The Records Continuum Model

RECORDS CONTINUUM MODEL THE FOUR AXES



Ian

Maclean developed the records continuum model (RCM) in the 1990s.

The concept produced the framework for the task of electronic records management. Scholars stated that “the electronic environment makes it quite impossible to use theories and methodologies used in the paper format environment”. The continuum approach was invented due to the relevance of the records management practices. The concept is to set no boundaries between archives and practices of records management. According to the record continuum model, it is not only inactive records that get archived; active records can also be archived. Even from the creation of active records, they can be archived without waiting for final disposal. The table 1 outlines the concept of the continuum. One important driver behind the invention of the model was the active requirements that are present in the electronic records environment (Upward, 2000).

The record continuum model presents a structure of active records management that go beyond time and space to capture and manage records for as long as they are required to fulfill legal, social, business and cultural. Ngoepe, (2008) asserted that this continuum model is a better method to adopt in modern records keeping.

The Continuum Concept

Process	Records Management Process	Archives Management Actions
1. Identification and acquisition	Creation	Selection and acquisition
2. Intellectual control	Classification within a logical system	Arrangement and description
3. Access	Maintenance and use	Reference and use
4. Physical Use	Disposal by destruction / transfer as archives	Preservation

Table 1 Source: International Records Management Trust (IRMT) (1999) cited in Ngoepe (2008)

Records Management Policy

Records management practices exist without having records management policies guiding it. Policies provide an environment conducive for proper records management. According to Cook (1993), records management policies and programmes are critical in enabling universities to:

1. allocate resources on the basis of principles and directions laid down by the policy;
2. assist in establishing control over records management activities, in particular by putting regulatory policies that are required for

- co-ordination, sharing of records, standardization, creation and maintenance of all types of records;
3. assist in improving accountability, defining organizational responsibilities and spearheading change in the records management process;
 4. stimulate an integrated approach to records management, or motivate coordination among existing records unit and the effective creation and use of professional technological capabilities

International Organization for Standardization, 15489 (2001) stated that the objective of policies should be the creation and management of authentic, reliable and useable records, capable of supporting business activities for as long as they are needed.

Effective Records Management Processes

Process	Description
Records Capture	<ul style="list-style-type: none"> - Identifying business information as records and putting them aside for future use and reference. - Registering a record by assigning it a unique identifier - Entering, generating or copying metadata into a record profile
Records Classification	<ul style="list-style-type: none"> - for retrieval - assigning a code, number of index term that can be used to retrieve the record - for disposal - for security (ie assigning security classification code to determine who may have access to the records and under what conditions).
Records Storage	<ul style="list-style-type: none"> - providing a reliable storage location and ensuring that records are not mutilated or tampered with to protect their integrity
Records preservation	<ul style="list-style-type: none"> - Implementing a preservation plan that, in the case of electronic records, anticipates technology obsolescence and media degradation to protect the long term usability of the records
Records Access	<ul style="list-style-type: none"> - Enforce records access and security restrictions - Providing record users with search, retrieve and display tools

Records tracking	<ul style="list-style-type: none"> - Establishing version control and differentiating originals from photocopies - Tracking the current custody and location of records - Maintaining audit trails on the access and use of the records
Records disposal	<ul style="list-style-type: none"> - Transferring records to semi-current, archival repository for storage. - Appraising groups of records and assigning them a common retention period and final disposal - Monitoring the retention period for records and triggering a disposal event when the retention period elapses.

Table 2 Source: Ngoepe, (2008)

4.0 SUMMARY

This unit examined the Records Management Processes. Records Lifecycle, Records Maturity Level and Continuum Concept were discussed extensively, the purpose which is to make sure that records in any establishment or its units are safely stored for future reference was discussed as well as reasons why we keep records which includes Administrative, Fiscal, Legal and Information values.

5.0 CONCLUSION

In concluding this unit, we have seen records are created/ received, maintained and used by individuals or establishments. Depending on the retention schedule, some of these records we have created, maintained and use for a period of time will have to retained if found to have enduring value and if they are not then they are disposed in other to create space in the storage area.

SELF-ASSESSMENT EXERCISE

- i. Draw and explain the steps in Records Maturity Model.
- ii. Explain Records life cycle.

6.0 TUTOR-MARKED ASSIGNMENT

1. Explain in detail the following:
 - (a) Records lifecycle
 - (b) Records Maturity Level
 - (c) Records Continuum Concept.

2. What is the main function of records management?
3. As one of the reasons for keeping record, what does it mean for a record to have an Administrative Value?
4. According to this unit, what are the reasons for keeping record?
5. What are the steps to Records Maturity Model?
6. Of what importance is records management policy in universities?

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MODULE 2 RECORDS STORAGE EQUIPMENT

Unit 1	Records Storage
Unit 2	Filing System
Unit 3	Records Disposition

UNIT 1 RECORDS STORAGE

CONTENTS

1.0	Introduction
2.0	Intended Learning Outcomes (ILOs)
3.0	Main Content
	3.1 Records Storage
	3.2 Records' Storage Equipment and Procedure
4.0	Summary
5.0	Conclusion
6.0	Tutor-Marked Assignment
7.0	References/Further Reading

1.0 INTRODUCTION

This is an introductory unit to records storage, and the equipment that are expected to be in the record storage area. It is the obligation of the records managers to certify that all inactive records are properly stored in appropriate equipment. This unit discusses storage area requirements, the box identification and the types of storage boxes available.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

- list types of storage boxes and their individual specification
- mention the types of cabinet.
- identify different types of cabinets used in storing records
- specify the conditions necessary for longevity of records
- discuss records storage.

3.0 MAIN CONTENT

3.1 Records Storage

Records storage equipment as the name implies means any equipment used for storing, holding or preserving records over time. The essential requirements of storage areas are as follows:

1. You should make sure the records storage areas are secured. This could be achieved through providing protection from:
 - a. Dust: It is advisable to install a split unit Air-conditioned in the storing area in order to limit the inflow of dust.
 - b. Fire: The storage area is expected to be fire proof because of the enduring value of the records. There should be fire-suppression sprinkling system; fire extinguishers should be at every entrance of the storage unit and at strategic points. Smoking in or around the storage area should be strictly **prohibited**. Explosive substances are not to be seen or stored around the storage area because of the records.
 - c. Unauthorized access to the record storage area is to be prohibited.
2. Shelving: It is best to use metal shelves in storing the records. Always retain the bottom shelf minimum of two or three inches off the floor. For easy access of records, you are to organise the shelves by records types, fiscal years, administrative value etc. you should make use of shelf labels.
3. Stack boxes: In situation where shelving is not available, stack boxes are used to store and preserve the records. The stack boxes are placed on wood or any other form of support to raise the boxes from the floor.

Storage Boxes

There are several types of storing boxes used in securing records; some of them are discussed in this section.

1. Standard Document Storage Box: The Standard document storage box is usually one cubic foot in volume, it measures 10 x 12 x 15 inches. They are used in the holding letters and legal documents. They have removable lids and can be laid flat when not in use.
2. Permafile Box: The Permafile boxes are used in storing explicit types of records such as maps or large documents. The Permafile boxes are also known as transfer boxes. It has the standard size of 10 x 12 x 24 inches and the legal size is 10 x 15 x 24 inches. The Permafile box due to its function which is to be used for the storing of maps are collapsible and reusable. It has the same volume as a file drawer and is easily available the market. The Permafile boxes have some disadvantages too such as

- a. Hazard: The metal reinforcing strip of the Permafile can cut off into a person's and rip clothing.
 - b. Inefficient Use of Space: When the Permafile boxes are not adequately stacked with spaces in between, the boxes at bottom could get crushed . Thus, when stacking Permafile boxes, it is advisable to stack not more than three.
3. Bankers Box: The bankers' Box are boxes slipped into a metal-reinforced cardboard shelving units. They are the same size with the standard document boxes discussed earlier. The bankers' boxes are seen as an inexpensive way to store records in the archives. Their disadvantages include:
 - a. Shelving units of the bankers' box will not support more than seven full boxes in a stack and when any of the boxes seem to be worn out, it is expected that the entire stack of boxes will be dismantled in order to replace the worn out box.
 - b. Another disadvantage of bankers box is with time and use the units tend to get weaken making it dangerously unstable for storage.
 4. Custom Box: Custom boxes are boxes customized by offices for the storing of their records. They are usually made from wood and usually used to store construction project records. Each project has its own custom box thereby making its movement and transfer easy.

3.2 Records' Storage Equipment and Procedures

There are numerous types of equipment for storing non-electronic records like papers. They include vertical cabinets, lateral file cabinets, shelf files and mobile shelves. Before deciding which type of storage equipment to purchase you need to research all option meticulously.

Vertical file cabinets

The vertical file cabinets are an enclosure of drawers where items or records are deposited. Its drawers extend from short side of the cabinet typically 15 inches cabinet.

Characteristics of vertical file cabinets:

- a. It is a storage equipment which tends to be deeper than it is wide.
- b. The arrangement/classification/organization of records in its file drawers is from the front to the back.
- c. They are straight forward storage cabinets in one-to-five drawer designs.

- d. The width of the vertical file cabinet's drawers is most suitable for letters , cards and legal-size documents.

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A picture of vertical file cabinets

Source:

<https://image.tigermedical.com/Products/LargeImages/ADE702L-.jpg>

Lateral files cabinet

A lateral file cabinet has drawers that extend from long side (various lengths) of the cabinet.

Characteristics of lateral file cabinets:

- a. The storing capacity is wider than it is deep. The documents stored in it are accessible from its side horizontally.
- b. The stored documents can be arranged in the drawer from front to back or in some cases from side to side.
- c. The file cabinets are more suited for narrow aisle spaces
- d. Some of the lateral file cabinets may have a combination of roll-back drawer and pull- out drawers.

A picture of lateral file cabinets



Source:

<http://ec-i21.geccdn.net/site/images/n-picgroup/30004370.jpg>

Shelf files cabinet

This particular file cabinet is designed to accommodate folders with tabs on the side rather than on the top. It has no drawers, but shelves. Though some shelf files can come with doors that recede into the cabinet. They are usually 12 or 18 inches deep.

Characteristics of shelf files cabinets:

- a. They are open-shelving equipment in which that the documents can be accessed horizontally from the open side.
- b. They can be open-style or may have roll-back or roll-down fronts.
- c. Shelf files have motionless shelves or shelves that are arranged in a rotary form.
- d. As its name implies, the rotary type of shelf files make space available in the back of a cabinet by as its name implies rotating the bank of the shelves so that the documents can be reserved safely and also accessed from both sides of the shelves.

A picture of shelf file cabinets



Source: <https://a3.southwestsolutions.com/images/gallery/file-shelves-open-filing-storage-cabinets-storeroom-shelving-texas-oklahoma-arkansas-ks-tn/open-file-wall-shelving-storage-cabinets.jpg>

Mobile Shelves

The mobile shelves, also known as the mobile aisle shelving, compactus roller racking or rolling stack are fitted with wheeled traction system. The units can be closely packed when there is restricted access and can be readily moved to open up an aisle to allow easy access.

Characteristics of a mobile shelf are:

- a. It is a series of shelving units that moves on tracks equipment that are attached to the floor for easy access to the files.
- b. It does not occupy space and can roughly double storage capacity of an area.

There are two types of Mobile shelves:

- a. Mobile aisle system: This consists of rows of shelving used for compact storage, situated on wheel-fitted carriages that travel on tracks. It allows more than one aisle to be opened at a time in order to access the stored records.
- b. Motorized rotary storage. This storage unit rotates the shelves within the unit around a central hub which brings the files to the operator.

A picture of mobile shelves cabinets



Source: <https://www.ezrshelving.com/user/solutions/mobile-medical-file-shelving-solution.jpg>

Storage Capacity

1. When choosing your storage cabinets, it is advisable to do a comparison of the file capacity and the required and

recommended floor space. This will help you to determine the cost effectiveness.

2. Due to fire hazard, fire protection is a major safety measure to be considered.
3. The shelf file saves time as well as floor space because of its nature no drawers to open before records can be accessed.
4. It is advisable to use open- shelf for confidential or vital records. These records need to be positioned in a records cellar for maximum security so that only the designated staff assigned to them can access them.

Storage Supplies

Storage supplies are items used in the storage of records. They are tools that help to provide easy access to records. Examples include the guides, folders, OUT indicators, labels and sorters.

Guides: A guide is a rigid divider used to identify a section in a file. It helps to facilitate references to a particular location. There are two types of guides:

- Primary guide : This is a divider that identifies a main division of file; it always precedes all other material in a section.
- Special guide: This helps in identifying an individual, subject or organization's records. It is also known as auxiliary guide.

Characteristics of a guide:

- a. Guides helps to reduce the time spent searching through the same titles to find the part of the alphabet needed if properly placed.
- b. Guides serve to keep the contents of the cabinet upright. Keeping records upright, promotes efficient storage and easy retrieval of the records.
- c. It is recommended to use about 20 guides for each file cabinet or 28 for each linear inches of stored records
- d. When too few guides are used, you spend more time looking for the right place to store records. On the other hand, too many guides will result in an evenly distributed files, which also slows down record storage and retrieval.

Folders: Folders are used behind every guide to keep the same type of records together. There are three types of folders: General folders, individual folders and special folders.

General folder: These are folders for records to and from correspondents with a small volume that do not require an individual folder(s). The records in general folders are arranged alphabetically by

the correspondents' name or title. The most recently dated record is usually placed on top within each correspondent's records.

Individual folder: These are folders used to store the records of an individual correspondent with enough records to authorize a separate folder. In individual folder, records are arranged chronologically with the recently dated record on top. The records relating to a particular correspondent will be removed from the general folder and an individual folder will be opened for the correspondent when his/her records have reach the predetermined number for an individual folder reached. Individual folders are placed in alphabetical order between the primary guide and its general folder.

Special folder: This is a folder that follows an auxiliary guide in an alphabetical arrangement. The special folder is divided into units such as Accounting, Office support, Administration, Audit etc.

Care of the Folders

1. The documents should be inserted with their tops to the left-hand side
2. When records start to bulge in any folder, they should be reduced. Records should never appear bulging or protruding from the folder edges.
3. Folders do lasts longer and conveniently are easier to use if it is not stocked beyond its capacity.

New folders are opened when:

1. a new group of names are to be added to a file
2. older folders are duly filled up
3. pre-determined number of records have been reached, new ones must be opened to avoid overload of the folders
4. the folders have dilapidated due to constant use
5. the retention time of the year according to the organization's policy has arrived for replacing folders and transferring in active folders to inactive storage.

Types of Folders

1. **Suspension Folders:** This is also known as hanging folders. They are constructed with built-in hooks hanging from parallel metal rails on each side of the file drawer. The suspension folders should not leave a file drawer. It usually has 10 slots across the upper edge for placement of plastic tabs that can be inserted. They are made to clamp several interior folders to partition a file.
2. **Bellows Folders:** These are also known as expansion folders. They usually have a top flap and sides to enclose the records in a case with creases that permits it to expand like an accordion.

Follower Blocks: These are devices seen at the rear of a file drawer that can easily move to allow contraction and expansion of the contents of the drawer.

Out Indicator: This is a device that shows the exact whereabouts of any borrowed records. They contain form that is used in writing the details of the borrower, the date it was borrowed and the due-date.

Out Guides: This is a special kind of guide used to replace any record that has been removed from the storage and also used to indicate what record was taken and by whom.

Out Folders: This is a special folder used to replace a complete folder that has been removed from storage.

Out Sheets: This is a form that is inserted in place of a removed record in a folder.

Labels: A label is a device that contains the identity or title of the contents of a folder, drawer or container. Most Microsoft processing soft wares can prepare labels. Label is different from caption. Caption is the title or heading or the description of record(s) printed on a label. There are two types of labels:

- **Container Labels:** These are labels on shelf, drawers or other storage containers.
- **Guides Labels:** These are labels seen on guides that consist of letters, numbers or words.

How to Locate Labels

1. Place the folder labels near the left edge of the shelf and near the top of the label
2. If the label is in alphabetic filling, the letter of the alphabet is typed first, about half an inch of blank space is followed ; then the filling segment. Note that the label is typed in capital letters with no punctuation.

Bar Codes: In filling of records, barcodes can be generated along with the name on a label. Bar codes tracking systems are used to keep track (location) of all records in the storage at all time. In a situation where a record is borrowed out of the storage area, a scanner is used to scan the bar code. Every information pertaining to the record is updated and saved in the computer by the staff that charged it out.

Sorters: A sorter is a filling device used to arrange records into alphabetic or numeric order. It can be used to hold records temporarily prior to storage. The reason for arranging records alphabetically is to improve the speed and accuracy of the storing system. Though this depends on the volume of the record flow in the organization.

Selection of Storage Equipment

The selection of the storage equipment requires appropriate consideration of the following:

- The type and volume of records to be stored and retrieved as at when needed.
- The extent of required protection of these records
- The efficiency and easy accessibility of the storage equipment and systems
- The space to be used must be considered
- The cost implication is to be determined. This is usually the last element to be considered because the cost of the staff needed to work , compatibility of the storage equipment, the benefits of using the right type and quality of storage devices are inclusive in the cost implication.

4.0 SUMMARY

We have been able to see some records storage equipment and how they are used in safeguarding records. There are different kinds of boxes used in storing records and each has its storage capacity and its advantages and disadvantages. We were also able to note many storage supplies needed in storage of records; and lastly devices used to track records when removed from the store.

5.0 CONCLUSION

It is important we store our records properly with the required storage equipment. Based on the principles of records management (accountability, transparency, integrity, accessibility, protection, compliance, retention and disposition) all records in our custody must be secured, maintained and conserved.

Records are at a greater risk if not properly stored. These risks range from theft, dust, insect infestation, man-made disaster and natural disaster. Records are unique in nature and should be handled with care.

SELF ASSESSMENT EXERCISE

- i. List two characteristics of mobile shelf.
- ii. Identify different storage boxes in a records' centre.

6.0 TUTOR-MARKED ASSIGNMENT

1. Explain records storage
2. List the types of storage boxes you know.

3. List and explain the files cabinet we studied.
4. Describe four storage supplies we studied in this unit.
5. What are some of the devices used in tracking records?
6. What are the 4 things to consider when choosing storage capacity?

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UNIT 2 FILLING SYSTEM

CONTENTS

- 1.0 Introduction
- 2.0 Intended Learning Outcomes (ILOs)
- 3.0 Main Content
 - 3.1 Alphabetic Filling System
 - 3.2 Using Colours in Filling Records
- 4.0 Summary
- 5.0 Conclusion
- 5.0 Tutor-Marked Assignment
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1.0 INTRODUCTION

This unit introduces the two major filing systems we have. – Alphabetic and Colour. Each of these systems has their rules and regulations which must be followed.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

- differentiate the filing systems used in storing and preserving manuscripts in archives
- explain how to file documents using any and all of the two filing systems.

3.0 MAIN CONTENT

3.1 Alphabetic filling System

In alphabetic filing system, all records are filled in an alphabetic order from letter A to letter Z. Within each word that starts with the same letter, there must be a way to know which documents goes before the other. Let us start from the advantages of this system. Some records start with numerals; in this case numbers are filled first.

Advantages of Alphabetic filling system

1. It does not need an index; it is strictly a direct access filing system. This saves time and reduces costs of operation.
2. All the records for correspondents whose names begin with numbers written as their digits are filled before all alphabetical

features of names. Knowledge of this rule facilitates easy access and retrieval of records.

3. It uses the alphabetic arrangement (A-Z) which is simple to recognize and remember.

Storage in an alphabetic filing system is very easy if the standard procedures are adhered to.

4. Misplaced records or files are easily detected by examining the alphabetic sequence.
5. Related records are grouped together.

Disadvantages of Alphabetic filing system

1. Misfiling is bound to occur if the alphabetic storage rules are not adhered to.
2. Filing under the wrong name can result in misplacement or worst even loss of records.
3. If there are similar names in the filing system, this can cause mix-up especially when the spellings are not exact.
4. Classified or confidential records are not secure in an open storage drawer because anyone can see the names on the folders by a mere glance.

The Selection and Design of an Alphabetic Filing System

In the selection and design of alphabetic filing system in a records management system the records manager should know the following:

1. The total volume of records to be stored
2. The number of records in each alphabetic section and which letters of the alphabet contains a large number of records
3. The expected activity of the files that is, how frequently the records are requested.
4. The organization's policy on how long records are to be kept.
5. The efficiency of the filing personnel
6. The available time and resources available for capacity building of the staff.

The staff in charge of the records must keep the needs of the organization in mind. They must not be influenced by the beauty or complexity of the system. In the alphabetic filing system, records are arranged according to name - either the name of the person, company or subject - in accordance with the letters of the alphabet. This system is also called the topical alphabetic filing system. The topical alphabetic filing system, also known as a dictionary system, files individual records in alphabetical order. These filing systems work well when storing a small number of records, usually less than 5,000 files, as recommended by Ancom, a filing system company.

When the first words or names of the documents are the same, check the next letter of the alphabet, continue until you find a difference. Usually we have word by word filing system and letter by letter. There are slight differences between the two.

3.2 Using Colours in Filing Records

The use of colour in filing helps to enhance the efficiency of a record storage system. The use of colours has two denotations:

Colour Coding: This is used as an identification aid in a filing system. Different colours can be used to divide or demarcate the alphabetic sections in the storage system. This means that even when you are using alphabetic filing, it could be interfiled with colour filing.

Colour Accenting: This is the consistent use of different colours for different records in the storage system. A colour could be used for the guides, while variety of colours could be used for the folders, a particular colour could be used for the OUT indicators and another colour could be used for the labels.

Having blocks of coloured folders act as a visual guide which leads the user or researcher quickly to a section of the alphabet. Colour bars can be used to as correspondence to the first letters of the record's name or title to create blocks of colours. The use of colours in filing system of records speeds retrieval of records because it reduces the urge to stop and read other documents in the file. It is better to use contrasting colours for special folders; this would make locating them easy. When the colour pattern is broken, misfiling becomes easily noticeable. Records can be filled in a centralized, decentralized and centrally controlled no matter which filing system is used, the filing procedures does not change.

Filing Procedures

1. Inspected : This means to check for release mark
2. Indexed: this means to read the record content to determine which filing segment to use
3. Coded: This means mark filing on record
4. Cross-Referenced: This means to indicate the record location under alternate filing segment.
5. Sorted: This means to arrange records alphabetically by filing segment.
6. Retrieved: This means to locate record by filing segment.

Five characteristics of a good filing system are:

1. easy to use
2. flexible to maintain

3. accessible to every individual who needs it and when they need it.
4. physically compact as it does not occupy or litter every space in the storage room.
5. secured, safe from every threat within and out the storage area.

4.0 SUMMARY

The filing system of records helps to keep the records in a safe and orderly manner. It makes the location and access of the records easy to reach. We have learnt two methods of filing records for easy retrieval. We also studied five characteristics of a good filing system.

5.0 CONCLUSION

When your filing system is based on the principles of records management, it helps you to be organised, efficient and transparent as a records manager. When records are properly filled in a cabinet, there will not be evidence of penetration of dust into the records nor wear and tear of the records due to bad filing system.

SELF-ASSESSMENT EXERCISE

Visit any archives and observe how they file their records. Compare their filing system with what you have learnt and list the differences.

6.0 TUTOR-MARKED ASSIGNMENT

1. . List the advantages and disadvantages of Alphabetic filing system
2. What are the various uses of colour coding in filing?
3. What are the five characteristics of a good filing system?
4. Explain what you understand by Word by word and Letter by letter types of filing.

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UNIT 3 RECORDS DISPOSITION

CONTENTS

- 1.0 Introduction
- 2.0 Intended Learning Outcomes (ILOs)
- 3.0 Main Content
 - 3.1 Organizational and Archival Value
 - 3.2 Disposal Policies and Schedules
- 4.0 Summary
- 5.0 Conclusion
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

1.0 INTRODUCTION

Disposal of records is a vital aspect of records management. As records are created/maintained stored and preserved, they are also disposed when the need arises. Records must be disposed when they are no longer needed or considered valuable. Proper disposition of records ensures that organizations can maintain and retain their existing records for a longer period provided they are of value. Records are disposed either by transferring them to an archive or by simply burning them off or by other methods. Record disposition if well managed save storage space; it saves storage costs and efforts that could have been expended in storing and maintaining records that are of no value. It also shows compliance with the principles of archives.

This unit will guide you on the process of making records disposition schedules, on deciding retention period.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

- explain the essence of having a disposal schedule for records
- discuss the value of records so as to select for keeping records of enduring value
- create schedules of records disposal
- make disposal policies.

3.0 MAIN CONTENT

3.1 Organizational Value of Records.

As earlier discussed, retention period depends generally on the organizational value of the record. You may ask; how does one identify a record that has organizational value? Remember we have established that records may have administrative, historical, legal fiscal or geographical value. These are the parameters you will consider in determining the value of records. Organizational value of records is determined by considering the importance of the records in terms of the functions they support; their relevance in protecting the interest and legal rights of the organization and the policy of the organization.

Archival Value

This is almost the same as the organizational value of records. The only difference between the two is that archival value of records has a broader and more expanded time frame. Archival value is the significance of records as business establishment's memory as well as their legal, fiscal and historical or cultural relevance. The main reason why we keep or store records is because of their enduring value for the organization that created them. For instance, existing records in a bank have archival value for the origin and legal status of the bank; its obligations, rights and entitlements and of those with whom it deals, evidence of compliance with regulations and procedures where there may be long term environmental and health impacts; evidence of the bank's organizational structure, its policies and key decisions; key activities, programmes, projects such as the bank's corporate social responsibilities in the communities where its branches are situated.

3.2 Disposal Program and Records Disposal Schedules

The sole aim of a business organization is to make profit. Consequently, they are held accountable for the way they use and dispose of their assets and this includes their records. When there is a legal case where a record is missing, their legal unit must be ready to explain to the management the reason for the loss of the records that were in their custody. For this and so many other reasons, disposal policies and schedule of an organization must be clearly documented so that no unit can dispose records without the managements' consent. According to [The Ohio State University \(2017\)](#), some basic elements of records management are: records classification system, disposition and training of staff.

Records Classification System

A records classification scheme provides a basis for making correct decisions about records in the holding. Institutions can establish ten or (fewer) broad record functions such as Human Resources, Legal and Financial. These top record functions are broken down into record classes, which are in turn, broken down to record types. The records manager determines which method of classifying records will best show their character, significance and relationships. The method listed maybe followed either or in combination: records groups, sub groups, series, file units and documents.

Disposal Program

The record managers determine the retention period of all the records in their custody. They should confirm the disposal is carried out on a regular basis as the excessive retention of records would cause difficulties in retrieving records and would result in space problems. The example the procedure for disposal of records in a university system is as follows:

Records cannot be destroyed or deleted (disposed of) if:

1. They have not been duly identified in the establishment's records disposal schedule.
2. The minimum retention period of the records based on the university's policy on retention has not been met;
3. There is a current disposal freeze imposed on the records by the Federal Government or State Government;
4. The university is aware of a matter, such as a legal case, which may require the records be retained.

Records that are ready to be disposed of must go through the following procedures:

1. The senior records manager responsible for the records must approve and 'sign-off on the destruction;
2. The manager, records and archives must approve and sign-off on the destruction;
3. The electronic records due for disposition must be destroyed in a way such that they are not recoverable once the destruction has taken place, such as data shredding;
4. Hard-copy records must be destroyed through an approved contractor by pulping, shredding or incineration;
5. Destruction must be handled in a secure manner. Due to the sensitive nature of records, it is advisable to have the disposition

process in a secluded area devoid of no interference by man, animal or thing.

Records Disposal Schedules

Developing records disposal schedules involves a thorough and systematic analysis of the business activity of the university and an assessment of the records produced as a result of that activity. Records disposal schedules will identify types of records and specify the length of time the records must be retained.

Records retention decisions must be based on:

1. The current and future business needs of the university;
2. Compliance with legal and governance requirements of the university; and
3. The current and future needs of internal and external stakeholders, including the wider community.

Development and Maintenance of Records Retention Schedules

The records and archives branch of any organization, institution or community will establish records disposal schedules in line with the *Records Management Standards for Public Sector* which all members of the community or organization must adhere to.

The Records Disposal Schedules will:

1. Meet retention requirements under applicable legislation and regulations. Many records may be subject to appeal processes or other legal scrutiny often for unanticipated events;
2. Categorize records and identify appropriate retention periods;
3. Identify triggers for these categories to enable the eventual disposal of many records and a provision for the permanent archival of other records;
4. Be approved by the Director, or any authorized signatory before they can be utilized; and be reviewed on a minimum of every three years.

4.0 SUMMARY

Disposition of records, if properly executed ensures that organizations can maintain and retain their existing records for a longer period provided they are of good and important value. Records can be disposed when there is no need for their use. There are many ways to dispose of

records, not necessarily destroying them. Records could be destroyed by burning, shredding, pulping, incineration, or by destructive reformatting. As we had discussed earlier, record disposition can be done via two processes by transferring the records to a permanent place for storing or by burning them.

5.0 CONCLUSION

In conclusion, before any disposition of records occurs, it is important that it is done based on the policy of the organization that created it. There is need to dispose of records when the existing records are no longer needed or considered valuable.

SELF-ASSESSMENT EXERCISE

Explain records disposal procedures you know.

6.0 TUTOR-MARKED ASSIGNMENT

1. Why do we need to dispose of records in our archives?
2. What records classification system have you learnt in this unit?
3. What procedures are to be followed before records are finally disposed of?
4. Explain four methods to be used to destroy records.
5. Of what importance are policies in records disposal?

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MODULE 3 ARCHIVES

Unit 1	Concepts of Archives
Unit 2	Types of Archives
Unit 3	History of Archives
Unit 4	Archives in Nigeria

UNIT 1 CONCEPTS OF ARCHIVES**CONTENTS**

1.0	Introduction
2.0	Intended Learning Outcomes (ILOs)
3.0	Main Content
	3.1 Concepts of Archives
	3.2 Difference between Archives and Libraries
	3.3 Importance of Archives.
4.0	Summary
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1.0 INTRODUCTION

This module is an outline of the duties of archivists and records managers working in today's business, government and non-profit environments. This module presents the introduction of archives, types of archives, history of archives and example of archives in Nigeria. As you are gearing up to achieve your career goals in the management of records, information resources management and archival administration, you need to have an in-depth understanding of the concept of archives, its origin and its categories.

In this unit we are going to learn the concepts of archives. We are to understand what archives mean and why archives are established, in the first instance. Does archive serve the same purpose with libraries? We will understand the differences between archives and libraries if any. What is the importance of archives? Should archives be established or not? This unit will expose us to the most important aspects of archives.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will able to:

- define archives
- differentiate archives from libraries

- know how the materials in the archives can be accessed
- know the importance of archives

3.0 MAIN CONTENT

3.1 Concepts of Archives

The National Archives (2016) defined an archive as a place where people can go and gather first hand facts, data and evidence from letters, reports, notes, memos, photographs and other primary sources. Otu & Asante, (2015) defined it as an institution or place of custody for documenting heritage of humans to promote the advancement of historical and cultural knowledge of the society. I know whenever you come across what is an archive, your response would be “anything that is old, out-dated, ancient or antique” and you are right. The word ‘archive is quite hard to explain as it is used in various ways, depending on the context. If you define archive as a building or a collection of items or papers or records you are absolutely correct. Though with each of the definition you many need to be elaborate and be specific. Archives can be defined as the non-current materials of an entity or an institution preserved and conserved because of their enduring value these materials are expected to last for a long period of time. In this sense, archives is used to refer to groups of documents, papers, items, picture, maps/drawings that have been nominated for permanent preservation and conservation due their value as evidence or as source for historical or other research. Archives can also refer to a place, that is the building or part of the building where archival materials are stored, preserved, kept or deposited. Archive as a place is also known as a repository for archival material. Finally, archives can be defined as an agency, that is, the institution that is responsible for the identification, preservation and easy accessibility to records of enduring value.

An archive is a corporate memory of an institution, a society or even a state. For instance, the archive or corporate memory of a university will include inaugural lectures; students hand books; question papers and answer sheets of students ; year books; important newspapers clips etc. Archival documents are not to be sold in the market. In other words, the documents in the archival repository are not for commercial transaction rather, they are purely for research purposes. Since the documents are of enduring or important value-, it is expected that they are guided jealously. You may be wondering if there any difference between an archive and a museum. There is significant difference between the both because the archives are mostly maintained solely for academic study, while the museum is the institution that can have a collection that is available for academic study but it must also have displays and be accessible by the public. The society of American Archivists (2016) defined archives as a place where people or individuals go, to find

information. Researchers in archives get immediate information, facts, raw data, written and documented evidence from letters, significant photographs, audio and video recordings.

Archives

- noncurrent records of an organization or the personal papers of one or more individuals, families, or groups
- retained for their continuing value to be preserved for posterity
- usually in a repository managed and maintained by trained personnel



Archival documents are unique. They are prime sources having been created or received at the time of events they describe by participants or as witnesses of those events. While in the archives, the archivist in charge must be ready to render a selfless services, be truthful and must present the materials when needed by researchers as it is without adjusting any part of the material. Records are a sum total of all documentary material regardless of their physical form (book, typesets) created or received by whomever that is in charge, and are maintained by an organization or any other entity in connection in transaction such other activities as it is engaged in. An entity's records could generate materials which maybe archived or not archived. The difference is accessing the document produced to know if it possesses lasting value or not.



Archives

also refers to the office or agency responsible for selecting, preserving, and making available records of permanent value

Archival materials or collections are usually unique in nature this is the main reason for having good security and preservation methods in place. Their safety is to be ensured and the life span of the materials either individually or collectively as a group need to be preserved and secured from mutilation , theft or any other kind of disaster. The archival materials deserve to be carefully deposited and managed in order to safeguard and preserve them for current and future use. Archival materials are also preserved by other institutions which includes museums and libraries (academic and public). Occasionally, these archival collections are retained in other locations such as religious organizations, businesses, charities, arts organizations and Non-Governmental Organizations (NGO) that often hold their own institutional records.

Archives

repository (place , part of a building) where these records are kept



3.2 Difference between Archives and Libraries

Every university library should have an archives section a good example is the Laz Otti Library in Babcock University Ilishan –Remo, Ogun

State, which has an archive as a department within it. Public libraries which are commonly found in cities and academic libraries which are housed in institution of higher education. Libraries can generally be defined as “collections of books and/or other print or non-print materials organized and maintained for use.” Library users can have access to needed information or materials at the library, through the library network via the Internet or by physically visiting the libraries. The archives differ from libraries in the materials they hold. Libraries collect materials which are disseminated to inform, educate, entertain a general audience. In contrast, archival materials result from the activities they records and are saved for future purposes both by their creator and by later researchers. The difference starts from the purpose for which the documents are created.

How can the materials in the Archives be accessed?

The materials in the archives are basically for research purposes and archives have specific guidelines on how people may use collections to protect the materials from physical damage and theft, keeping them and their content accessible for posterity where as in the library, due to the charging and discharging of the library books this causes the books to eventually wear out, when this occurs the library either retrieves the mutilated or worn out books and replaces it with a copy in the library store or may end purchasing a new copy at a more expensive rate at the time. In the archives, it is not possible to have checkout of the handwritten diary of a historic figure from an archive because this act would cause the same physical deterioration, and in this case there is no form of replacement of the diary. To access the archival material you must:

- Submit request
- Provide a means of identification
- View the material
- Return material to the information desk.
- Submit request: Once you have identified the material you want to view, you submit a retrieval request to staff in the archives. This could be done in a few ways:
 1. Email your request to the archival institution
 2. Call the reference desk in the archival institution
 3. Fill out a request form at the archival institution
- Provide a means of identification: After you submit your retrieval request, the staff will retrieve the material you requested and bring it to you. While viewing the material, you will be required to submit your means of identification at the reference desk.
- Return the material

When you are done using the material you requested, you are expected to return it back to the reference desk. The archival staff will return your identification card to you and return the material back in the archives for safe storage

3.3 Importance of Archives.

Do we think the archives have any form of importance? Definitely! The importance of archives includes the evidence they provide to us, our activities. Archives convey stories; they tell us about important figures, institutions and the world. They also deepen our understanding of our cultures, tradition and indigenous knowledge and nurture our sense of identity. Archives are very important for records and information management. In our daily lives and organizational activities, we produce reports, data, and information, documents all these needs to be meticulously managed and monitored in order for them to be utilized properly.

Other importance of archives are:

1. Archives help us to store outdated and unused documents off site thereby creating more office space.
2. Records in the archives have enduring value. They may have fiscal, legal administrative, and historical value and need to be kept in a secured location for future purposes with no chance of unauthorized use.
3. An archive provides safe places for documents that are stored and preserved there. Cases of flood or fire or other disaster damaging the records are limited.
4. Archived documents are easily retrieved because of the good filing system it has.
5. Archiving documents saves money for individual or organization and at the same time make history for them.
6. Archives help organizations to maintain a good legal compliance with the government by maintaining all pertinent records.

4.0 CONCLUSION

Archives may appear to us as old and non-existing, but in the reality they are powerful tool in our lives. Without archives, we as humans have no history. Without history that means we are not in existence. There is a saying that “the pen is mightier than the sword”. Indeed the pen is mightier than the sword because in some wars there is no need for a blood battle rather, with the evidence of what was written a war can be won. Archives are very important to every organization, because they

produce documents on a daily basis and these documents end up as records which will be later preserved depending on their enduring value.

SELF ASSESSMENT EXERCISE

To access material in an archive, you must take few steps. List the steps

5.0 SUMMARY

This unit examined the definition and meaning of archives, the variances between the archives and libraries, and the importance of archives. Remember in our discussion earlier, we defined archives as non-current records of a corporate establishment, even the private papers or documents of individuals held or kept for their research and enduring value to be preserved for a longer period of time. You, as an individual, may not be aware that you have your own little archive, yet we all do. At least, you have properly kept your birth certificates, examination results etc. All these are kept because you recognize their importance and that they need to be properly secured. This unit generally explained what archives are.

6.0 TUTOR-MARKED ASSIGNMENT

1. Explain briefly the difference between archives and libraries
2. In your own words, explain the meaning of archive.
3. What do you think are the importance of archives OR why do you think archives are important?
4. What are the processes involved in accessing archives?
5. From studying this unit you must have noticed the differences between archives and records; what are they?

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UNIT 2 TYPES OF ARCHIVES

CONTENTS

- 1.0 Introduction
- 2.0 Intended Learning Outcomes (ILOs)
- 3.0 Main Content
 - 3.1 Types of archives
- 4.0 Summary
- 5.0 Conclusion
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

1.0 INTRODUCTION

The previous unit introduced us to the archival world. We learnt its definitions, its importance and the differences between archive and the library. Under this unit, we will discuss types of archives with few examples of archives in Nigeria.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

- define the types of archives, using Nigerian examples.
- differentiate one type of archive from the other.
- identify what makes one archive peculiar from the other.

3.0 MAIN CONTENT

3.1 Types of Archives

Records are grouped uniquely and systematically by the generating agent. There are many types of archives in existence and the types of materials or collections they have in their custody differs as well. Brief overview of the types of archives are:

University Archives

Here records are created and maintained as archives specifically for an academic institution. University archives have special collections division; they exist primarily to serve the host university, its ex-students and the general public. An example is Babcock University archives that is located in the academic library as a unit.

A picture of collections in university archives



Corporate Archives

Archival units, departments, sections within an organization or company are all corporate archives. These units exist to attend to the daily information needs of the parent organization, enterprise, or employees and to improve business goals. Depending on the enterprise's or organization's policies, the corporate archives may allow the public to have access to the archival collections. Example is Archive Global Management Limited.

A picture of collections in a corporate archives



Government Archives

Government archives are repositories that collect and manage archival materials relating to local, state, and national government entities. Examples are Lagos State Record and Archives Bureau (LASRAB) and the National Archives. All archival records generated from the local governments, state governments, and the federal government are preserved in the government archives.



A picture of collections in government archives

Historical Societies

These are organizations that seek to preserve and promote interest in the history of a region, area or state. The collection of historical societies focuses on a state or community and may be in charge of maintaining some governmental records. Records kept are mainly historical records of the region especially the origin and roots of the indigenes. Example is the Historical Society of Nigeria.

A picture of collections in historical societies



Museums

Museums and archives share a common goal of preserving items of historical significance and importance. However, museums lay a greater emphasis on maintaining diverse collections of artifacts, and artworks and monuments rather than books and papers or manuscripts. Museum's exhibit these items to the public and maintain them for public use. Many interested people especially historian and archeologists visit museums more frequently than other users. Excursions are performed in such places. Example is the Old Residency Museum in Calabar.

A picture of a museum



A picture of collections in a museum



Religious Archives

These are archives relating to the traditions of a major religious organization within a faith. The materials in the custody of these

repositories could be available to the public or restricted to the members of the faith by which they were created. Example is the church archives of the Roman Catholic Church.

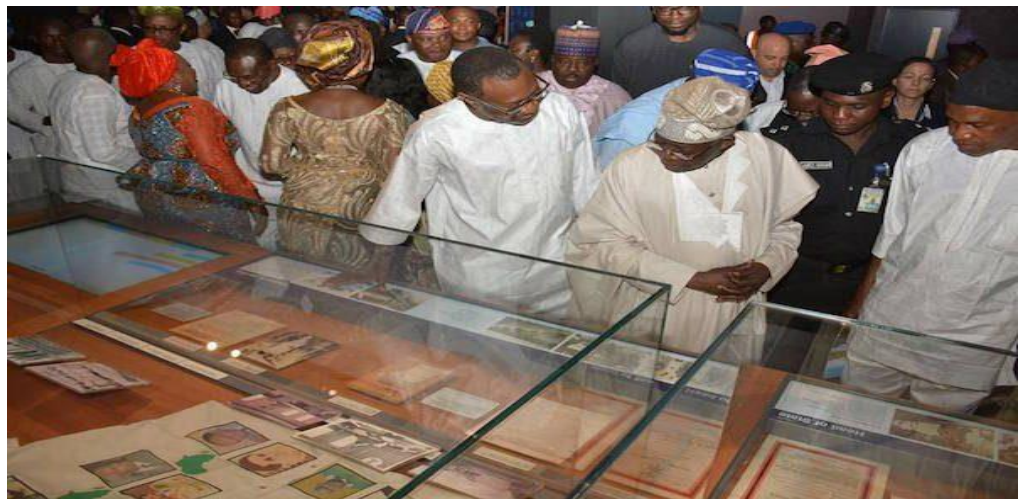
A picture of collections in a religious archive



Special Collections

These are archives containing materials deemed to have significant historical value from individuals, families and organization. Topics in special collections vary widely which includes Law, Medicine, and Presidential Libraries of past Presidents of countries. Example is Olusegun Obasanjo Presidential Library IN Ogun State, Nigeria.

Pictures of collections in a special collections



4.0 SUMMARY

Almost every country of the world has its archives where documents of enduring value are stored. Any country that does not have one is to establish one for historical purposes. Every archive has a particular kind of document it receives and stores for future purposes. In this unit, we examined few types of archives using the Nigerian context. Examples were given for each type of archive discussed. As a student, it is necessary that you visit an archive in your location or state to see what they have in their custody for you to have a clearer understanding of what archives look like.

SELF ASSESSMENT EXERCISE

Visit and archive and list and explain types of materials seen there.

5.0 CONCLUSION

Today's currency is information and knowledge. Knowledge is power is an aphorism that has gained ground. Having an idea of what kind of archival material you are looking for will help you determine the appropriate place you can get it. Whether the needed information could be gotten from the library or from the archives depends on your knowledge of both.

6.0 TUTOR-MARKED ASSIGNMENT

1. List all types of archives you just studied. Give specific examples of each.
2. Explain the types of archives you know.
3. Differentiate archive from museum.
4. What type of materials are collected and saved in Historical Archives?
5. What are the differences between an Institutional Archive and a Government Archive?

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UNIT 3 HISTORY OF ARCHIVES

CONTENTS

- 1.0 Introduction
- 2.0 Intended Learning Outcomes (ILOs)
- 3.0 Main Content
 - 3.1 History of Ancient Archives
 - 3.2 History of Archive in Nigeria
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

1.0 INTRODUCTION

The history of Ancient archives can be traced back to 4000B.C. In this unit, we are going to put on our caps as archivists and records managers and study the history of archives. Ancient archives, modern archives and Nigerian archives will be studied. What led us to documenting and preserving our records? We will get all the answers to this question while we discuss the history of archives in the world and in Nigeria in particular.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

- outline how archives came into existence and its origin in Nigeria
- trace the history of the first archives in Nigeria
- narrate the history of archives in Nigeria
- tell the story of the beginning of archives in the world
- describe some world archives and how different archives came into existence.

3.0 MAIN CONTENT

3.1 History of Ancient Archives

ANCIENT ARCHIVES



According to Tolentino, et al (2014), the history of archives can be dated back to 4000 B.C. when the Mesopotamian priests and their rulers were in charge of maintaining records of property, offering, taxes and exchanges. Clay tablets were used for writing and were impressed with cuneiforms or wedge- shaped characters. In China, it's earliest records were made out of bones and tortoise shells. China's archival material in 700B.C. was changed from bones and tortoise shells to bamboo slips, silk and stone tablets. It was Alexander the Great who initiated the daily use of journals which were used to record the empire's events. 330B.C. Alexander the Great's records were burnt and were reconstructed. In 530B.C. the Justinians were able to preserve the archives of their empire and compiled the "Body of Civil Law" while in 509.B.C., the Romans published their first public archives, called the Aeraium. Unfortunately, the Aeraium was destroyed by fire in 83B.C. and was replaced by the Tabularium. In 500.B.C. Egyptians recorded their information on leather, papyrus and wooden tablets. Their extensive archival system was developed in the 2nd and 3rd millennia. In 410 B.C. the city-state records were housed inside the Metroon. In A.D.50, the Han Dynasty established the Bureau of Historiography.

The Middle Ages



From 6th – 13th Century, the parchment became scarce and was expensive to buy. Commercial and trade transactions in and between the communities was through exchange made in kind and the governments' dealings were orally conducted while being the medieval era rituals and ceremonies served as substitutes for written records. Though German kingdoms of the West maintained records, most of their other secular entities did not. In the 8th century, Charlemagne used older records to

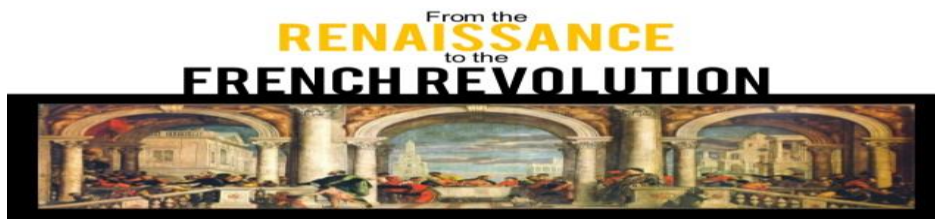
develop his codes of law. Venerable Bede, noted histories, relied heavily on archival materials to write the Church of England's history.

In the Middle Ages (1066-1484), Philip 11 of England created the Tresor des Chartes in Paris. There was growth in religious and secular archives as more records were created and preserved during this period. Laws were codified till- the 13th century, evidences by written documents were found obnoxious. The scope of administration expanded as residence of the monarchs are fixed and this made the secular archives to grow.

In 1305, the King of England sent a collection of papal privileges to the Tower of London for safekeeping and in,- 1320, the records of the Treasury, the Exequcher and the wardrobe were also sent to the Tower.

In 1400, the Tower of London housed all Britain's Chancery records; it was at the conclusion of this century that the Middle Ages-, archival records began to be viewed as state properties and no longer as individual possession of the monarch.

The Renaissance



The renaissance in the European history, marks the evolution from the Middle-Ages to modernism. It covers the 15th and 16th centuries. The period occurred after the crisis of the late Middle Ages and was associated with great social change. From 1500 to 1543 archives became important sources of historical and geographical information. During the renaissance, learning accelerated by the invention of the printing press. This resulted in the creation of archival repositories, manuscripts and libraries. In 1543, the monarchs began to create their personal archives, the Sincamas repository and Charles 1 of Spain were the first well-defined and distinct European archives after which other nations followed suit.

In 1600, the Reformation and Counter-reformation provided stimulus to churches to collect and maintain documents to demonstrate the historical validity of their positions. The archives became known and was regarded as tools used to legitimize claims of authority, territory and ownership. Nations began to consolidate and centralize their documents

into records and special buildings were built as proof of their country's importance and commitment to history. The first guidelines for archival administration were formulated and Axel Oxenstierna of Sweden prepared set of rules for Sweden in 1618. In 1632, Baldassare Bonifacio's *De Archives* discussed the history and importance of archives and provided the guidelines on how to use them effectively. With all these developments, the records were below standard and still poorly organized and rules of administration were not established well. Access to archival institution's material was restricted.

French Revolution



The French revolution was referred to as the period of the Estate General of 1789 which ended in November 1799 with the establishment of the French Consulate. Archives were viewed as important in order to preserve and administer a nation's heritage and were made legally open to citizens. The French ideal of nationalism spread through Europe due to the French Revolution which led to the creation of nationwide public archives. The Archives Nationale served as France's national repository with jurisdiction over records of the government, hospitals, churches and schools. The Archives Nationale, gained control over records held in istrict creating the first centrally-directed, state-wide archives systems.



Between 1810 and 1814, Napoleon tried to centralize all archival records of Europe in the Paris by seizing all official and historical records of territory. Records were centralized through national archives. Other nations such as the Western Europe started developing regional archives due to the growing number of archival materials. The French called their archives “Archives Departmentales”

Records were arranged by subject so to satisfy the information needs of scholars and researchers. The French introduced the Principle of “Respect des fonds” in 1840. This principle means that documents created by one office should be treated as a single, unique unit and should be preserved as such. In 1890, the Prussian Doctrine of Provenance was introduced. This principle means records should only be maintained according to the original order they were initially created or use as their respective office.

In 1821, the Ecole des Chartes was established in Paris, in 1854 the Institute for Austrian Historical Research was established in Vienna, Austria and in 1877, Russia began training archivists at the St. Petersburg Archaeological Institute.

MODERN ARCHIVES



In July 1918, Vladimir Lenin signed a decree providing for a reorganization of Russia’s records under the Bolshevik regime, thereby creating the most highly centralized archival system in the world and in 1934, the United States National Archives was established. The Israeli State Archives was established within one year after the formation of the country in 1949. The National archives of some countries such as Uganda, Thailand, Sudan and Malaysia were formed between 1950 and 1960s. The International Council of Archives (ICA) was established in 1950 to promote the scholarly use of the archival records and their effective administration.

The US National Archives in 1968 established regional archives branches across the country to accommodate the federal records with primarily regional content and interest. It was during this period the United States of America developed 50 states archival systems, many of which are still active.

In 1979, the International Council on Archives (ICA) and United Nations Educational Scientific and Cultural Organization (UNESCO)

initiated a long-term Records and Archives Management Program (RAMP) which is to promote publications, effective management and use of archives most especially in developing countries

3.2 History of Archive in Nigeria.

A picture of the National Archives Building



In 1914, the Foreign Administrators acknowledged the necessity to practice the conservation Archives in Nigeria. The Secretary General then made a suggestion on the possible steps that need to be taken in ensuring that the effective provision for Nigeria in keeping and preserving their official papers.

Kenneth Onwuka Dike carried out an investigation on the Nigerian's unrestricted records. His finding from the survey, to Nigeria having its own records office formally called the Nigerian Records Office on April 1, 1954. Not until 14th November, 1957, was the Nigeria Public Archives Bill signed into law as public Archives Ordinance 12(a) 1957 (Ordinance No. 43 of 1957. The first archive in Nigeria was located at the University of Ibadan in 1958. Kenneth Dike was appointed the supervisor because of his experience and passion for recording keeping; he was later promoted to the rank of the Director of Archives from 1954 to 1963. Till date, Kenneth Dike is considered the father of the Nigerian Archives. After his tenure in 1963, on April 1, 1964 Lloyd C. Gwam, was appointed as the director of the archives a post he held until his death on July 2, 1965. S.O. Sowoolu, succeeded Mr. Gwam and his tenure was credited for starting the growth of the archives in Nigeria.

A decree referred to as the National Archives Decree was passed in 1992. This enactment had a significant improvement over the 1957

Ordinance that was used. The National Archives of Nigeria as a body had issue of where to belong and the agency was moved from one Federal Ministry to another. For instance it was moved to Federal Ministry of Education in 1957, subsequently to the Federal Ministry of Social Development, then to the Federal Ministry of Youth, Sport and Culture. Currently, it is under the Federal Ministry of Information and Culture. The National Archives of Nigeria (NAN) has its own zonal offices as shown below:

S/N	Location	Region	Year of Establishment
1	Ibadan	West	1958
2	Kaduna	North	1958
3	Enugu	East	1958
4	Abeokuta	West	1989
5	Benin	South West	1982
6	Sokoto	North	1982
7	Akure	West	1985
8	Ilorin	West	1985
9	Owerri	East	1986
10	Calabar	South South	1986
11	Port Harcourt	South South	1986
12	Jos	North	1989
13	Lagos	West	1989

The Ordinance of 1957 basically empowers the National Archives of Nigeria to examine the records in public offices and render advice concerning their care, custody and control. The control of the Director of National Archives of Nigeria is no longer limited, rather the Director can exercise executive powers.

Functions of National Archives of Nigeria

The National Archives of Nigeria is the body responsible for safe guarding national archival materials. It is saddled with the responsibility of the collecting, registering and preserving valuable memorials of the past and making them accessible for reference and research in line with the National Archives Decree 1992. These resources includes but are not limited to books, corresponding letters between the colonial administrators and the local rulers of the regions in Nigeria, documents, photographs, maps, manuscripts and newspapers to mention a few . Otutru (2000) observed that three categories of documents are preserved in the National Archives of Nigeria they are :

- (i) records of the Federal Government,

- (ii) records collected from various local government areas, throughout the country, including administrative, constitution, and legal records.
- (iii) records of private bodies and individuals who deposit them on voluntary basis.

These rare or archival items are kept in the custody of the National Archives of Nigeria for policy making or policy referencing, decision making etc. With these evidences in place, there will be continuity and consistency in government in Nigeria. Apart from the records listed earlier, other records like Agreements between Nigeria and its colonial Masters, Proclamations, Treaties, Orders-in-council, letters, written by Dr. Nnamdi Azikiwe, Alhaji Tafawa Balewa and other prominent and educated Nigerians in the quest for Nigeria's independence from Britain, patents, royal instructions, conventions of the National Council of Nigeria and the Cameroons, Nigeria People's Party etc. Others are records of Nigeria's foreign activities covering 1884-1914, records of both World Wars I and II (1914-1918 and 1939-1945) and records of the church missionary societies like the Mary Slessor that helped to abolish the killing of twin babies in Nigeria .

It is important to note that the functions of National Archives of Nigeria are purely supervisory and the depositors of the documents have the right of ownership and access to their documents when the need arises. The operations of National Archives of Nigeria, according to Otutru (2000) includes:

Archival resources and advisory services: The employees of the National Archives of Nigeria are professionals who are trained to render advisory services to depositors on the methods of disposition available should their records need such services. They also help to train other record creating agencies.

Preservation and technical services: The National Archives of Nigeria restores the worn out or defaced records as well as deteriorating documents using modern techniques such as digitization ; Since the records in the archive are of enduring value and as such cannot be lent out to researchers on loan the employees of the National Archives of Nigeria assist in the provision of reprography services to researchers.

Research and reference services: The employees of the National Archives of Nigeria also provide other duties such as reference services ,document searching services and answering of specific legal and administrative enquiries from the users.

Training/consultation: National Archives of Nigeria includes the training of personnel from government departments and other agencies in the rudiment of archives and records management. Private companies also consult the National Archives of Nigeria on how to store their records.

National Archives of Nigeria no doubt is a useful agency which has helped immensely in fostering national unity.

4.0 SUMMARY

In this unit we discussed the history of archives in the world and in Nigeria. Existence of archives dated as far back as 4000.B.C when clay tablets were impressed with cuneiforms and used as writing materials. In 539B.C. the Persians used clay, leather, and papyrus as writing materials. Rolls called Daybrooks also a writing material was used in documenting events of that era. Archives came in different phases according to the period of its establishment whether it was Ancient, Middle Ages, or Modern. We also discussed the powers the Ordinance of 1957 gave to the Nigerian Archives. We also discussed the history of archives in Nigeria, with Kenneth Dike being referred to as the father of Nigerian Archives.

5.0 CONCLUSION

History is part of us. It helps us to identify with the past and come to terms with it. History helps us to avoid repeating any mistakes our fore fathers or leaders made. History of archives takes us back to how and when archives came into existence and what prompted the documentation of events in the past. In this unit, we can conclude that the existence of archives has helped us as individuals, states, countries and regions in documenting events for future generation.

SELF ASSESSMENT EXERCISE

List the functions of National Archives of Nigeria

6.0 TUTOR-MARKED ASSIGNMENT

1. Give a brief history of archives in Europe under the Renaissance era.
2. Explain in detail the history of archives in Nigeria
3. To what extent has the archive imparted your life? Is it a positive or negative impact?
4. What powers did the Ordinance of 1957 give to the National Archives of Nigeria?
5. Explain the mentioned four operations of National Archives of Nigeria?

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MODULE 4 MANAGEMENT OF ARCHIVE

Unit 1	Principles of Archives Management
Unit 2	Theory of Archives Management
Unit 3	Archival Practice
Unit 4	Arrangement and Description of Archives (Part One)
Unit 5	Arrangement and Description of Archives (Part Two)

UNIT 1 PRINCIPLES OF ARCHIVES MANAGEMENT

CONTENTS

1.0	Introduction
2.0	Intended Learning Outcomes (ILOs)
3.0	Main Content
3.1	Principles of Archives
4.0	Summary
5.0	Conclusion
6.0	Tutor-Marked Assignment
7.0	References/Further Reading

1.0 INTRODUCTION

In life, there are laws, rules and principles that guide our daily activities. You will agree with me that without these laws, there will be chaos. The same applies to records, data, and information. Some of you may be wondering how this applies to them, since they (records) are no living things. Well, the truth is that records, data, and information are alive. Record according to the International Standards Organisation (ISO) is information identified, created, received, and maintained as evidence by an organization or person, in pursuance of legal obligations or in the transaction of business. Similarly, the International Council of Archives (ICA) committee on electronic records defined records as recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprises content, context and structure sufficient to provide evidence of the activity. From these two definitions we can see that records, data or information are vital. They can make or mar any individual or organization if not properly managed. Records may not be walking about like us but their importance cannot be ignored.

In this unit, we will discuss the principles of archives namely: respect des Fonds; Provenance, and L'ordre primitive as well as their application in archives.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

- explain the principles of archives
- discuss why archival records have principles guiding their existence.
- explain in detail these principles using real life examples.

3.0 MAIN CONTENT

3.1 Principles of Archives

Principles could be defined as a proposition that guides behaviour. Before the arrangement of archival material, you must have done the registered the materials into the log book. Archival materials are arranged in order to reveal their content and significance. This process involves packing, labelling and shelving the materials. What do we need to achieve by arranging the archival records? This is to achieve both physical and administrative control of the archival records and for easy identification of the materials.

In the library, the arrangement of the library materials involves cataloguing and classification of the materials by subject while in the archives involves records group, sub-group, series and file unit.

Basic Archival Principles

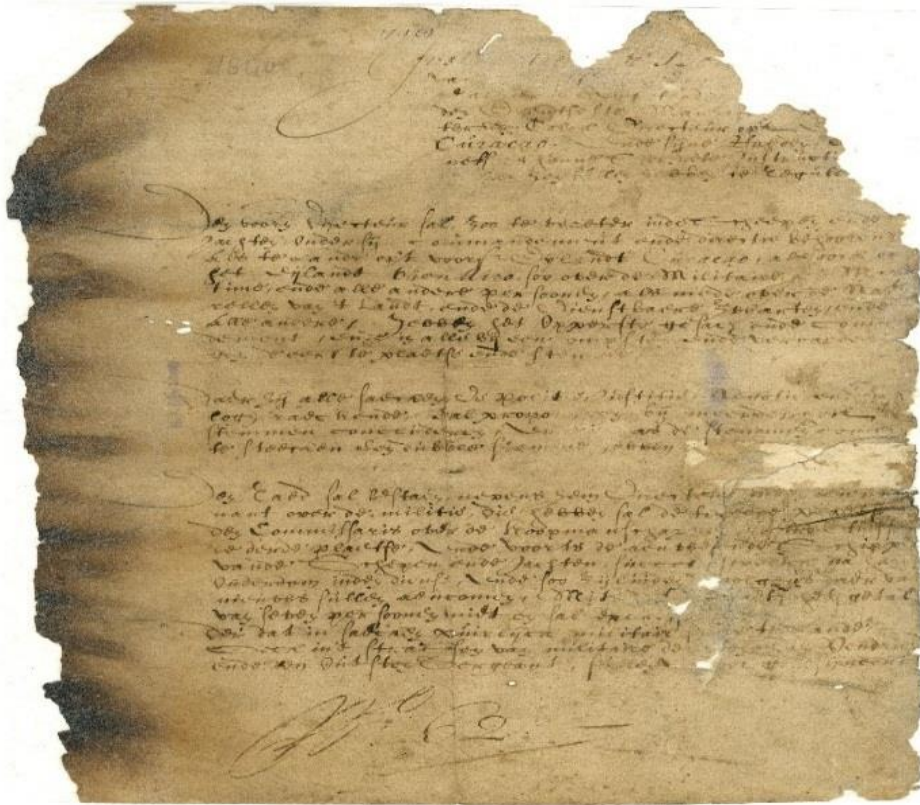
There are three basic archival principles namely:

Respect des Fonds; Provenance and L'ordre primitive.

Respect des Fonds

Respect des Fonds is a principle of archives which states that the records of an individual, family, offices, governmental or non- governmental body **must** be retained together in their original arrangement in which they were before being transferred to the archives. They **must** not be mixed with records from another source. This fundamental principle embodies the notions of **Provenance** and **Respect for original order (L'ordre primitive)**.

A Picture of a record in its original order.



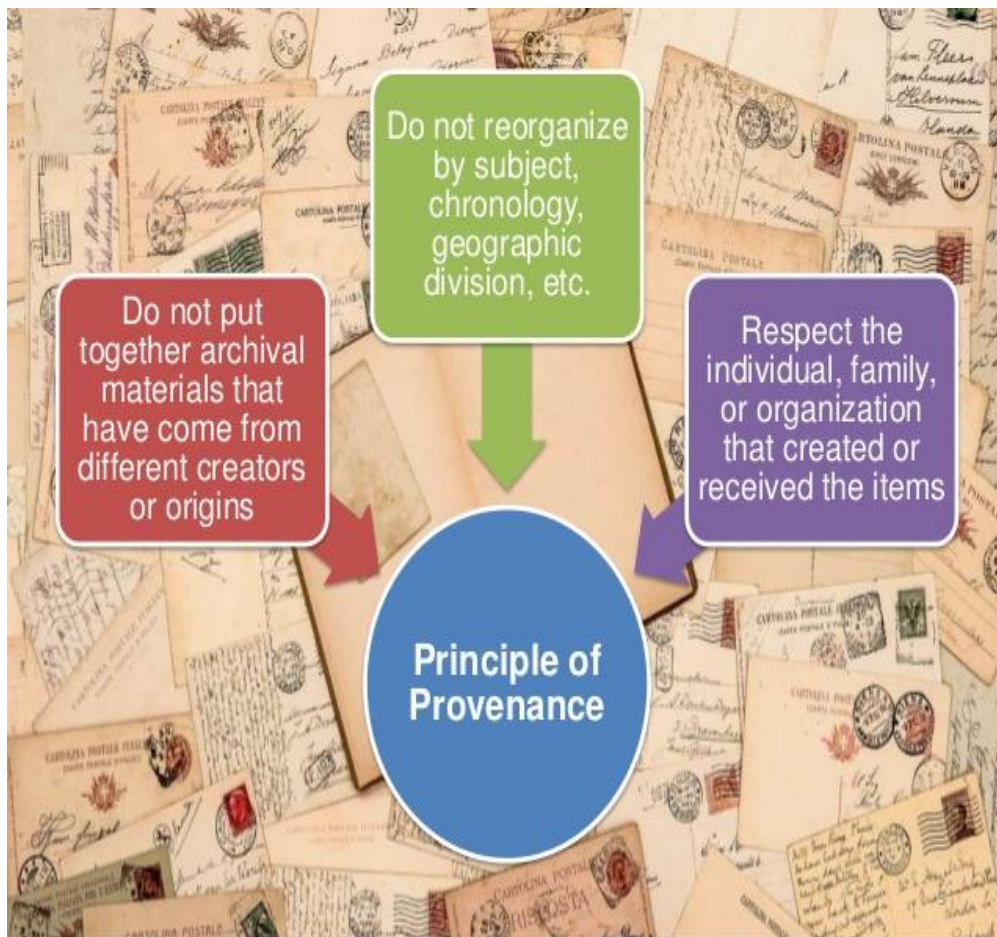
Source:

http://www.newnetherlandinstitute.org/files/5714/0574/4084/NYSA_A1883-78_V17_1_p1_sl.jpgv

Provenance

This principle was formulated by a French archivist in the 1840s. This principle is also known as “office of origin”. The Principle of Provenance or the principle of “archival integrity” simply means that records created and maintained are to be used by the organizations or individuals that created them in the course of their business activities. The principle states that manuscripts originating from a common source (or fonds) should be preserved and conserved together – where practicable, physically; but in all cases intellectually, in the way in which they are catalogued and arranged in finding aids. Records of different provenance should be preserved and documented separately. This principle implies that archives of a given records curator must not be mixed with the records of other curators. In other words, archivist should always keep separate, the records emanating from different individuals, agencies and organizations. Each record remains as a separate group not to be inter-filed.

A picture showing the Principle of Provenance.



Source: <https://image.slidesharecdn.com/report-provenanceoriginalorderandrespectdesfonds-141021075045-conversion-gate01/95/archival-science-provenance-original-order-and-respect-des-fonds-3-638.jpg?cb=1413877910>

Respect for Original Order

This principle was established by the Prussian State archives in 1880s. This third principle of archive states that records of a single provenance should be retained in the original order it was created or received for archiving. Records of a particular origin should retain the arrangement or classification established by the creator in order to preserve the existing relationships and evidential significance in the collections. This principle is referred to as “respect pour l’ordre primitif” or “Sanctity of the original order”. The principle or order stipulated that records should be preserved as they were filed in the office of origin. The documents must be filed in the classification order it came with. Researchers must receive the records at its original order.

A picture showing the Original Order.



Source: <https://image.slidesharecdn.com/report-provenanceoriginalorderandrespectdesfonds-141021075045-conversion-gate01/95/archival-science-provenance-original-order-and-respect-des-fonds-5-638.jpg?cb=1413877910>

Application of the Archival Principles

1. You must ensure that all materials are preserved, maintained and used within the reason of their creation, this it to be done in other to improve and maintain the truthfulness to their evidence of the actions of the person that created them.
2. You must minimize or eliminate the personal task archivists play in shaping the significance of the evidence, enabling the archival collections to “speak for themselves” about the actions of their creator.
3. As an archivist, do not meddle with or change the evidence or material rather you are expected to preserve the records’ context for easy accessibility.
4. The archivist must be disciplined. He/she must control his/her mouth because people do deposit their valuables like Wills, jewellerys, gems. All these are sensitive.

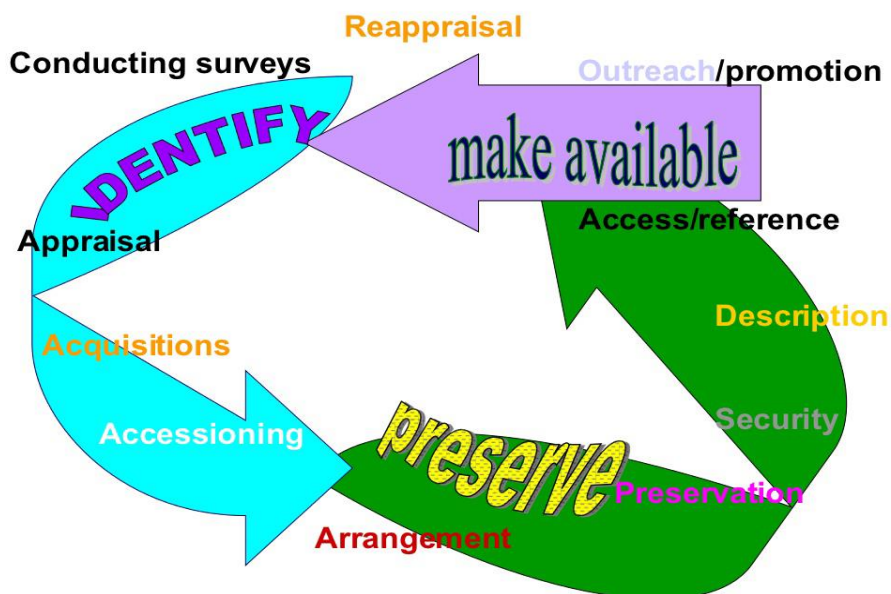
Reasons for starting an Archive

1. Individuals, organization, institution, corporate and religious bodies need an official memory.
2. The concept of accountability requires full documentation.
3. As we grow older, archives serve as proof of our past, they constitute our indigenous heritage.

Steps to be taken before starting an Archive

1. Present an archival policy
2. Get approval from the highest authority
3. Get appropriate records
4. Achieve the legal control of the records
5. Establish intellectual control of the records
6. Establish physical control of the records
7. Make archival records available for use.

Cyclical expression of archival functions



Archivists are known to be custodians of unique collections, personal items (letters, memoirs, diaries, papers on specialized area, geographical information, speeches/ lectures legal documents, business records, subject files), materials. They preserve data, records, documents and items of enduring value. These collections are not essentially ancient and they can be presented in diverse formats. Archival materials just like the library collections are (organised) catalogued and (labelled) classified in masses or groups.

The table below presents the differences between libraries and archives:

Category	Libraries	Archives
Nature	Published Discrete items Available everywhere.	Unpublished Group of related items They are unique in nature tend to be scarce.

Mode of receipt	Designated as an item	Considered in aggregate
Organisation	Prearranged Subject classification(example the Library of Congress classification Scheme)	Provenance and original order.
Level of description	A book or library resources	Collective (record group or series)
Description method	Card catalogue, OPAC	Inventories, guides
Access	Open shelves or stacks	Restricted or closed stacks

4.0 SUMMARY

Archives as we already know is the place where we preserve records of enduring value. Archives consist of unique materials and because of this the records need laws or rules that would help in the preservation and conservation of their value. In this unit, we discussed the 3 principles of archives namely Respect des Fonds; Provenance and Respect for original order. We were able to define each of the principles and discussed their applications; the reasons for starting an archive as well as the steps to take before starting. We also noted the differences between archives and libraries.

5.0 CONCLUSION

Rules, principles and laws are needed to guide us in our everyday activities including records management. As archivist or records managers we need rules to guide how we maintain and treat the records in our custody. Principles of archives have been life savers for us as we create and care for records. These principles guide the archivists on how to appraise, preserve and conserve the records that are transferred to the archives.

SELF ASSESSMENT EXERCISE

State reasons for starting an archive.

6.0 TUTOR-MARKED ASSIGNMENT

1. Define principle
2. Explain the following terms:
 - (a) L'ordre primitive
 - (b) Provenance

- (c) Respect des fonds
3. In a tabular format, show the differences between archives and libraries.

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UNIT 2 THEORIES OF ARCHIVES

CONTENTS

- 1.0 Introduction
- 2.0 Intended Learning Outcomes (ILOs)
- 3.0 Main Content
 - 3.1 Theories of Archives
- 4.0 Summary
- 5.0 Conclusion
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

1.0 INTRODUCTION

This unit will discuss the theories of archives. Two major theories of archives will be used for illustration. Specifically the theories of Jenkinson and that of Schellenberg will be used as examples. We will notice the if there are differences and/or similarities in the theories.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

- explain the theories of archives as propounded by Hilary Jenkinson and Theodore Schellenberg.
- distinguish the two theories
- apply the theories in your research work pertaining to archives.

3.0 MAIN CONTENT

3.1 Theories of Archives

The term theory originated from a Greek word that means contemplate. There are numerous definitions of theory from different authors. Parson (1964), defined theory as a system of laws while Stam (2007) defined it as a logical organisation of knowledge that can be used in problem solving. In this unit, you will learn an overview of the theories of archives from two prominent people.

Jenkinson' theory

The first theory we will discuss is by a man known as Sir Charles Hilary Jenkinson (1882 – 1961). He was a British archivist and an archival theorist. He is regarded as the authority that brought the European

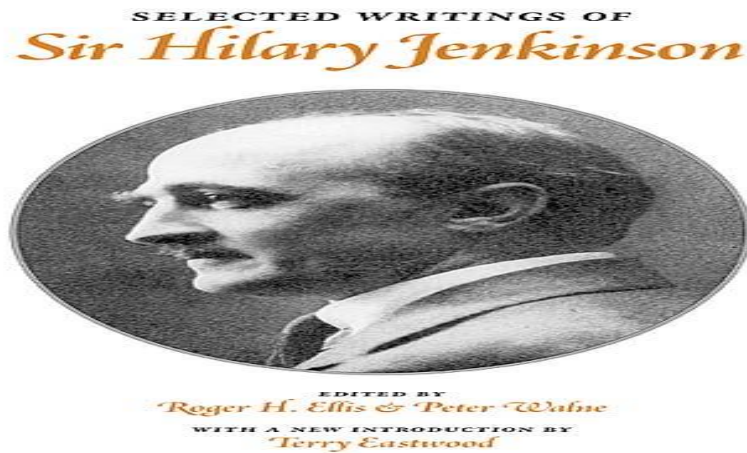
Concept of Archival theory into all the English- speaking world. Sir Hilary Jenkinson started work in 1906 as a public record officer and was responsible for the arrangement and classification of records of the Medieval Exchequer. This position he occupied until 1912, when he was put in charge of the search room. In 1922, Sir Hilary Jenkinson published his manual of archive administration which was later published in a revised and expanded second edition but without altering the original principles. The key elements of his archival theory included the objectivity of the archival record, Objectivity in philosophy means that truth is independent of an individual's perception or bias. The second key element of Sir Hilary Jenkinson archival theory is the principle of provenance, the third is the principle of *Le respect pour les fond* which includes the significance of the inter- relatedness of the archival records in a place. Sir Hilary Jenkinson's fourth key element is the biological nature of all archival records and their relationship with other records. His fifth key element is based on the necessity of continual custody of the archival records and their control which would help to maintain and retain their importance.

Sir Hilary Jenkinson saw the archivist as an impartial custodian. He believed that when appraising archival records, weeding and disposition of unimportant papers is not among the job description of an archivist rather, it is the record creator's responsibility which they should have done before transferring the records to the archive. Jenkinson was of the belief that the archivist is not an analyst of content rather he is a conservator of any relevant evidence for anyone who desires to use the records. He also believed that a good archivist is the most selfless devotee of Truth the modern world produces.

Critics of Sir Hilary Jenkinson's theory were numerous. One of them was Theodore Schellenberg whom will discuss too. The critics believed that Sir Hilary Jenkinson's theory failed to address the exponential growth of records. They argued that fewer records created when he postulated this theory records, therefore keeping every record forever which was his big ambition was not ideal. Other archivists believed Sir Hilary Jenkinson's ideology was influenced by the low production of records during the 1920s.

The second theory of archive we will discuss is by Theodore Roosevelt Schellenberg (1903-1970). He was popularly referred to as T.R. Schellenberg. Schellenberg was an American archivist and also an archivist theorist. He is known for starting the American Archival ideas concerning appraisal. His ideas and publications are part of the foundation of archival theory and its practice in the United States of America. T. R. Schellenberg started his career in the Joint Committee on Materials for Research as their Executive Secretary after obtaining his

doctoral degree. He was later employed by the National Archives and Records Administration (NARA) as their deputy examiner who was responsible for examining the records of executive agencies. He later rose to become the Chief of the Division of Agriculture Department Archives.



Schellenberg's theory

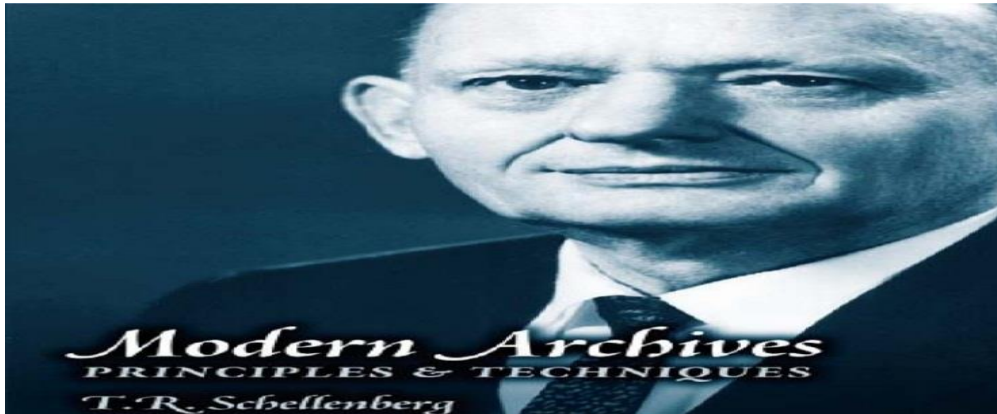
T.R. Schellenberg's major contribution to archival practice is on selection and appraisal of records which are major roles of the archivist. From T.R. Schellenberg's point of view, records have primary value to their creator as evidence of their activities. They also have secondary value to information seekers and users of the originating agency. Schellenberg argued that the most efficient method of dealing with the volume of records that the archives were managing at the time was to differentiate between their primary and secondary values. According to him, this differentiation of values helps distinguish between records and archives.

Records that have current primary value to their creator are kept under the purview of records managers and only those that have value for future inquiry would become a part of the archives. Schellenberg was of the view that a record's overall value can be appraised based on three distinct criteria:

Uniqueness: Every record is unique on its own because the information contained in a record cannot be duplicated nor found elsewhere.

Forms: Records should be considered based on the extent to which its information is formatted.

Importance: When appraising records, the needs of the ruling government should take before the needs of others such as historians though the historical importance of the records should be considered too.



4.0 SUMMARY

T.R. Schellenberg's point of view and Jenkinson's point of view on how to maintain and retain records theoretically were discussed in this unit. There may be other theories on archives but these two captures everything. Jenkinson's theory deals with how to keep the materials while Schellenberg's was on quality of archival materials. Archival materials have different values.

5.0 CONCLUSION

Theory is the starting point of every profession and Library and Information Science is not exempted. The goal of archival theory is to generalize everything around the nature of archives in order to set the intellectual framework for its method and practice. Theory is used to define the characteristics of objects or materials (in this case archives) which are common to all archives.

SELF ASSESSMENT EXERCISE

What is a theory?

6.0 TUTOR-MARKED ASSIGNMENT

1. Explain any theory of archive you studied.
2. Which aspect of archives does Jenkinson's theory deal with?
3. Which aspect of archives does Schellenberg's theory deal with?
4. Differentiate Jenkinson's theory from that of Schellenberg.

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UNIT 3 ARCHIVAL PRACTICES

CONTENTS

- 1.0 Introduction
- 2.0 Intended Learning Outcomes (ILOs)
- 3.0 Main Content
 - 3.1 General Management of the Archival Institutions
 - 3.2 Arrival of the Archival Records / Handling of the Records on Arrival to the Archives
- 4.0 Summary
- 5.0 Conclusion
- 6.0 Tutor-Marked Assignment.
- 7.0 References/Further Reading

1.0 INTRODUCTION

This unit describes the general management of an archive which includes training of the staff; the procedures involved when archivists appraise records for possible archiving, arrangement and description of the materials and, the procedures involved before archival materials are accessioned. Knowledge of selection of archives will be imparted and the students should show their understanding of the practices by engaging in them. They will understand how policies are formed and how materials are selected. You should visit any archives to learn practically how archives are managed and learn how and why there are policies guiding the archives.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

- explain how records in the archives are selected
- identify the practices involved in archival management
- practice the routine duties in archives
- outline the reasons why there are Dos and the Don'ts in archival practice.

3.0 MAIN CONTENT

3.1 Records Selection (Policy)

In archival or records management, policy as set of principles or procedures intended to govern actions affecting selection of archival materials to be preserved for their enduring value.

Guides to records selection

1. Which records are to be archived or preserved? The purpose of the establishment is to determine which records to preserve for example in a university, which records would be seen to be suitable for it to preserve.
2. Is the archive strictly for administrative purposes or will it be accessible to outsiders too?
3. Will it serve scholars only? Or other interested individuals are welcome?
4. Will only company records be collected in the archives? The type of institution you are working for will determine which records aimed to be collected.
5. Will transaction and civic affairs be included?
6. Will personal records of employees or workers be included in the archives?
7. Will personal records of non-employees be included in the archives?

Records Selection in Archives

1. **Records Content:** This determines whether to keep a record or not. Administrative units to produce records for preservation must be identified. Content of records rather than age determines if the records would be kept or discarded. The final selection is based on organisation's perceived value of the record for future reference, research or legal value.
2. **Record Form:** this is the container of the records. Paper is a prominent form of record.
3. **Reference Value:** This is same as the research value of records. Does it contain what researchers may need for research? Would it be used strictly internally for employees as reference? Research value of records is often determined by external users or original personnel who are engaged in research for development of organizational policies, organizational philosophy, organizational performance of the people in the organization. The archive would enable historians have the information required to write factual business history.
4. **Operating Value:** This is the value of the manuscripts for the current work of the organization or institution. Some records are of short-term value or enduring value examples are cheques, vouchers, receipts etc.
5. **Fiscal Value:** A record is seen as having fiscal or financial value when they can be used by auditing, internal revenue and other financial agencies. All financial organisations like the banks keep and maintain their records till the end of the financial year.

Depending on the organisation's annual calendar, the audit unit uses records generated in the organization to trail documents to show how the organization spent their money. After clearing the audit for that year, the records can be kept for archival purposes especially proof of transactions while some records like receipts can be destroyed.

Legal Value: Certain records must be retained for a certain period examples are employee records, legal rights, health records. If in the future any document would be required in a court of law then the documents or record would be submitted as evidence because of its legal.

6. There are two (2) kinds of legal value:
 - (a) Organizational requirement by statute or regulation. Example is certificate of occupancy.
 - (b) If the material or record contains legal rights or interest of individual(s) or bodies. Examples are patent companies with NAFDAC number. The document should be kept in case of any problem in future or if the records have copy right on them.
7. **Administrative Value:** For current operations in an organization, some records or papers may be kept for one or two years. It means the records are not needed for the current work rather they have administrative value which can be used to summarize what had been done previously. The management determines if the papers are of administrative value or not.
8. **Archival Value:** This is the combination of all the previously mentioned values. This determines if papers, manuscripts or records are worthy of perpetual preservation in an archival storehouse. This is also called historical value, continuing value or enduring value. Records can be seen as having archival value if they have research value or enduring value. When a record has a continuing or archival value researchers request for such records almost all the time. According to Schellenberg, a record has archival value when it has :
 - (a) **Evidential value:** This means the records are necessary for an organization's functioning..**Informational value:** This is the extent to which records shed light on persons; things and events.
 - (b) **Persons:** could be individuals or corporate bodies, things could be historical buildings or places while events could be interaction between persons and things. It is not easy to fix informational value of records because you are looking at persons, things and events. Schellenberg proposed three (3) tests for appraising informational value which are :

1. Uniqueness: Check the uniqueness of the materials; physical form to determine the authenticity if it is original or fake.
2. Form: This is the form of the information such as how solid and concrete is the information, is there a high ratio of research value? How is the physical condition of the material? Is it good for preservation ? How costly will it be to preserve the material?
3. Importance of the material: This is how important the persons, things and events captured in the record are? Are the records subject of future research?

General Management of the Archival Institution

When it comes to the administration of records in the archival institution, there is clear organisational structure just like there is in the libraries. In the libraries the University Librarian is in charge of the affairs there. In the archival institution, the head of records administration is in charge while the director of the archival institution reports to him or her. The director, the unit heads in the archival institution and the office of the regional directors form the management group the decision-making body for the archival institution. The aims and objectives of the archival institution are mapped out by the front-runner of the records administration and administrator of the archival repository in consultation with the management team. The archival tactic is developed by the director of the archival institution, though with the assistance of other heads of department. Their tactic which is usually developed into strategies and packages will be converted into tasks for departments within the archival institution and its staff members.

All programmes (corporate and individual) are expected to be deliberated and agreed upon before they are documented at the first quarter of every year. The agreed tasks should be scrutinized and supervised informally on a daily basis; apart from the informal monitoring there should also be formal supervision which will help the management crew to keep tabs on activities and progress. Recruited personnel ought to be given a typed or hand written job description, indicating specifically what tasks the employees are expected to carry out.

Staff Capacity Building

Newly recruited workforces in the archival institution need to be given a manual which contains all information concerning conditions of their employment in the institution. They should be given a brief on the following areas:

1. Security
2. Management of archival documents
3. Procedures involved in the management or handling of the documents
4. The exceptionality and significance of the papers of enduring value in their charge.

Procedural Manual

The procedural manual forms the foundation for the archival institution's methods of managing the records in its care. Usually a member of staff recruited by the institution will be appointed as the editor of the procedural manual. The editor will have custody of the original manuscript and all changes to be made in the procedural manual must be authorized and processed through him/her. Generally, the editor has control of the management and distribution of the manual.

Forms and Register

The forms and register to be used in the archival institution must be approved by the managerial team before certified official copies are issued out. A member of staff is designated as responsible for the numbering, design, layout and printing of all forms and registers approved for use.

Annual Reports

There should be a yearly submission of dates for the development of the archival institution's annual report. The designated personnel will have the responsibility of providing models indicating the layout and presentation details. Statistics and information for the annual report will be compiled and the measures for compilation of the statistics must be established. The data may be compiled as information as :

1. The number of archival records agreed by the archival institution (it should be calculated by box, archive record and sub-records, series or items)
2. The quantity of archive processed (counted by box, archive groups, series or items)
3. The sum of request for evidence from governmental agencies; in house researchers or external researchers (via calls, emails)
4. Total sum of reader's ticket issued and visits made
5. Total sum of archival materials produced for reference purposes.
6. Total sum of copies certified
7. Total sum of enquires received and responded to
8. Total sum of items conserved and repaired

Other Statistics to be supplied may be arranged on issues regarding:

1. Staff recruitment
2. Capacity building of staff
3. Significant acquisitions
4. Finding aids and publications issued
5. Exhibitions
6. Important visitors
7. Important tours
8. Researches carried out by staff.

Acquisition of Archival Materials

In archive acquisition means having the custody of materials. The components in the custody of materials are:

1. Physical custody
2. Legal title.

Physical Custody

This is the possession of the records, papers or documents generated in an organization by the archive. Usually, the custody shifts from the creator to the recipient and the material is kept in an archive or in a manuscript repository.

Legal Title

This simply means ownership of records. For someone to have legal title of the records in his or her possession; he/she must own both the medium(i.e cassette, compact disc) and the message or (information content). For an archive to have legal title of records means it has ownership to physical and intellectual properties of the material, which implies the copy right ownership.

The difference between the physical custody and the legal title is that in the physical custody, the archivist keeps the material for the ownership without using them while in the Legal title you have the custody and also the ownership to use the materials and the copy right ownership is all yours.

Copyright ownership of Archival Materials

Copyright ownership of archival materials is the right invested in the creator of a manuscript, his/her children or assignee to publish or replicate the manuscript or to authorize the production or duplication as the case may be of the material. Copyright ownership lasts for 70 years but after the 70 years, if the author has assigned a body to take charge of the ownership then the copy-right continues.

Methods of Acquisition in Archival Institution

The methods of acquisition in archival institution include the following:

Transfer: Transfer occurs within an agency, institution or organization or family. The physical custody changes since the archives takes custody of the materials. In other words, the materials were created elsewhere and the materials were transferred to an agency. It is important to note that ownership of the material has not change irrespective of the transfer. The originator of the material is still the owner of the document. The archive is just responsible for the safety of these materials that have continuing value. There is no control over the use of the materials by the researchers or external users except if the owner of the material left instruction that the material should be locked up and not be used by anyone.

Purchases: This is when the materials or documents are bought from anywhere, the original owner has transferred both the physical custody and the legal title of the material to the next party. The intellectual content or property will belong to the person that bought the materials.

Disadvantages of purchase

1. It could be quite expensive due to its value.
2. Focus may shift to individual items than the entire collection.
3. They only have monetary value, they are real object with no research value. Example is the autographs.
4. Since money is involved there is tendency that fraud may occur.
5. Fake replicas could be made available. People may be reproducing a look alike of the original.

Gifts: Gifts are transfer of ownership of material without any form of financial consideration. The question needed to be asked when a gift is been presented is if the person giving the gift is the owner?

Three (3) characteristics of a gift are

- (a) Offer
- (b) Acceptance
- (c) Delivery.

Gifts could be solicited that is sought for. When a gift is received by an archival institution, a lawyer must be present to process a document known as the **Deed of Gift Agreement** to avoid having problems with some claim for the gift. This agreement is a legal paper showing transfer of items from one person to another.

Basis for Acquisition in Archives

1. **Statue:** Laws enacted by a legislature signed by the chief executive of the jurisdiction forms the bases for the acquisition of materials or records.
2. **Administrative regulation:** This may be issued by the executives in an agency or its branches anywhere or by an independent regulatory agency in the discharge of their duties authorised by statue.
3. **Records Retention Schedule:** This determines the period of time a record or document should stay in circulation before it is archived. Such records should be kept in the facility for a period of time before they are moved to another place. This could be monthly, quarterly or annually. Records tagged permanent are eventually transferred to archives.
4. **Permissive Policy Statement:** Archives policy statement authorizes the archives to acquire the records of an organization and other records related to the organization but not generated by it.
5. **Acquisition Policy approved by a Governing Body:** For a systematic and consistent acquisition of records and manuscripts, there must be an approved acquisition policy signed by the governing body of the generating institution.

Accessioning Records into the Archival Institution

Accessioning is the act and procedures involved in a transfer of legal title and taking records into the physical custody of an archival institution, agency, records centre, or manuscript repository. Generally, accessioning is the action taken before taking the documents into the custody of the archival institution. Accessioning of records into the archival institution involves taking custody of records at the point of entry into the archival institution. The aim of accessioning records upon their arrival until their final placement is to ensure these records with legal, administrative, organizational or, historical value arrive safely at the archival institution and are arranged swiftly. They are to be stored and secured with ease and access to the records restricted when the need arises. The archival institution receives their records from many sources such as:

1. the public agencies (these are usually small offices handling records)
2. records offices (these are usually bigger offices handling records)
3. non-governmental agencies
4. private entity owned by individuals.

There are three (3) types of control in archival practices. They are :

- (a) Legal control

- (b) Physical control and
- (c) Intellectual control.

Legal control: Legal control of archives and manuscripts involves taking both physical and intellectual charge of the document. This means that both the medium and the message are involved. Legal control could be done through any of these six (6) ways / instruments:

Oral Agreement: This is an oral transfer of title or contract that is outlined and agreed to by oral communication and not written down. It is difficult to prove the terms of an oral agreement in the event of a breach, this type of agreement is legally binding.

Purchase Agreement: This is the transfer of title for financial consideration. In this case, a bill of sale or a receipt reviewed by a legal counsellor before signing must be presented.

Letter to Document the Transfer: This is the exchange of letter where one writes to the custodian to keep the documents and the custodian replies back in writing, accepting the offer. It involves offer and acceptance.

Will : This instrument of control transfers the title upon the death of the donor. This is also done through writing of a letter of agreement except it occurs or takes effect upon the death of the donor of the material.

Note that a lawyer has to be present to help draft the will and also to sign the document in order to avoid any doubt in the future. The document (Will) will not be revealed till the death of the donor.

Deposit Agreement: This is the placement of records or papers in the physical custody of a repository without the handover of title. It is similar to keeping money in the bank, in which case the bank is the custodian of the deposited money while the depositor is in control of the movement of the cash.

Deed of Gift Agreement: A signed, written document or agreement containing a voluntary transfer of title to real/ personal property without a financial thought. It is a contract that governs the materials that were given out as gifts to the archival institution.

Physical Control: Once the legal control is established then the physical control takes effect . Physical control involves shipping and actual receipt of collections. The best way of shipping and collection of materials is best done personally. Documentation of receipts of materials are very necessary, the repository staff will box and label the materials and try to maintain the original order of the material.

Intellectual Control : This is necessary for an archivist to establish control over the content of the material(s) in the archival institution's custody. Intellectual control is safe against issues such as copyright.

Intellectual control should be done before researchers needs can be met. To achieve this accessioning of records / log books are essential because the content of the material need to be made available.

The following questions are impertinent for proper documentation of the archival materials which the archival institution uses to account for its actions and can as well as preserve information about the attribution of the archival materials.

1. Who is transferring the material to the archival institution? This basically refer to the source of the material. Who is making the handover of the records to the archives? Is it from the government or from an individual or a non- governmental organization?
2. What records are being transferred to the archive? Are the records suitable for an archive? Do they have enduring value and other qualities of records charged to archival institutions?
3. When the transfer of the records is complete, what happens to them next?

It is the obligation of the employees to ensure the safety of the materials during their transfer from their originating centre and accessioning. The staff is to ensure that all paper work is accurate and updated. At the point of receiving records, all the newly transferred records to the archival institution must be appraised that is they all must be checked to make sure they are of the unique quality that is expected for any material in the archive then they are acknowledged into archival institution. The evaluation of records transferred from the records centres which are responsible for handling smaller manuscripts is the responsibility of that records centre employee working under the direction of the records administration. The evaluation of materials transferred directly from bigger offices handling records is the duty of the records office team in consultation with records administration team while the assessment of records that seem to be non-political in nature is the duty of the archival institution.

When a record is appraised and accessioned into the archival institution, it automatically becomes part of the archives and subject to archival regulations. Do you remember the principles of Respect des Fonds; Provenance and L'ordre primitive ? Good! This is where these principles of archives that we had discussed earlier on come into action.

Uses of Accession

1. It provides an inventory control over total holdings by noting the location of each item.
2. It serves as a temporary finding aid, by providing intellectual control over collection until more detailed arrangement and description are completed.

3. It provides worksheets for the control of work activities and helps to establish priorities. Accession records could be kept manually or electronically in any database.

3.2 Arrival of the Archival Records / Handling of the Records on Arrival to the Archives

When new archival records are transferred from a records centre which is usually a smaller office handling records, some preliminary tasks need to be carried out by the staff prior to the transfer. These preliminary tasks are listed below:

1. Appraisal and selection of the records for transfer in accordance with the disposal schedule
2. Cleaning and tidying of the records
3. Removal of ferrous metal pins, clips, staples from the records (metal pins will eventually rust which and cause harm to the archival records; they should be replaced with a plastic pin.)
4. Labelling of the items with necessary identifying information such as name/title; record group etc.
5. Boxing of the items and where boxes are unavailable, the materials should be bound together in methodical rolls protected with paper.
6. Inventory, giving the name of the level in archives, the original agency file identification numbers and titles and the covering dates. In situation where the transfer is from within the establishment, the records centre transfer list will normally be used for this and can be interpreted to show the series and pieces transferred.
7. Complete the archival institution's accessions form.

It is the responsibility of the leader of the records centre to send a detailed summary list of the records and accessions logs to the archival office before the transfer of the records. The head of the records centre will have to fix an appointment (date and time) that is convenient for the records to be delivered. This same task applies to the records coming directly from a records office, the same preliminary practice will be done there by records office staff. There will be liaison between a representative of the transferring records centre and the archival institution concerning the date and time of delivery.

In a situation, where the manuscripts have not been organized for transfer, the employee must ensure that the physical preparations which include the appraisal, arrangement, boxing, labelling and listing is completed before the records are placed in their final storage within the institution's repository.

Procedures before Accessioning

Upon arrival of records at the arrival institution, the following tasks must be done by the staff:

1. Check the new accessioned archive records for indication of tear, disaster, insect infestation and mould and mildew to identify what step(s) or treatment should be carried out.
2. Check to make sure that all the new records are properly labelled with their names for easy identification and accessibility.
3. Store the manuscripts in a secured and short-term storage area created for new accessions in order not to get them mixed up with the already accessioned records in the archive.
4. Cross-check the new materials against the repository log and transfer list to ascertain that the paperwork really does match those of the archives and that none of the items which are supposed to have been included was omitted.
5. Complete an accession form in the case where none had been prepared before hand and obtain an authorising signature on it from the creating agency transferring the manuscripts.
6. The archival staff should make sure that an entry in the accession register is made
7. Acknowledgement of dispatch of the accession form so that the transferring agency has their record of the transfer.

Accession Form / Log

Accession form is a form designed in the archive. Its contents includes:

- ✓ Accession number
- ✓ Record group number and name (this is where manuscripts or records are coming from)
- ✓ Title of the collection
- ✓ Name and address of the source(this is where manuscripts or records are coming from)
- ✓ Date of receipt of the records
- ✓ Description of collection (includes dates, volumes, general subject matter of the manuscript)
- ✓ Comments on restriction (what the donor of the material indicated upon its delivery)
- ✓ Temporary location where the materials would be stored or kept till the final storage is decided.
- ✓ Preliminary plans for processing that is identification of divisions, recommendation for arrangement, description, recommendation of scheduling/plan of action, time and staff that would be needed.

Completing the Archive's Accession Form

It is very important as an archivist that you complete the accession log or form. The accession log or form which is a document designed to note the handover of custody of the manuscripts to the archival institution, according to the policy or regulations of the establishment. The accession log is usually signed by the sender and receipt of the records, the accession form is the physical proof of their transfer of custody. Accession form must be kept securely and preserved permanently for an eventual transfer as part of the archival institution's own archives because as accession form gets filled up, it serves as evidence that such agreement existed at a certain time.

Behind the accession form, there is a checklist of activities that the archive's team ought to undertake for that accession. Any employee of the archival institution is expected to carry out all of the actions listed and also to indicate they checked or accessioned the records by writing their names and date on the accession checklist when an action is completed. For every record in the archival institution there should be an accessions form irrespective of where the materials originated. The accession form should be used for material to be added to the repository. The accessions log could be completed by the individual conveying the archival materials to the institution. The accessions log always accompanies the records during transfer. In a case where the accession form is yet to be completed, the archival staff will have to complete and process the accessioning as soon as the manuscripts arrives its destination.

A different accession log is to be filled for each single accession into each level of arrangement of records. It is the obligation of the archives staff to ascertain that all records are allocated to the correct archive group taking into consideration the provenance of each record. The full archival references such as the record group; series and file or item numbers will be entered on the accession form immediately. It is important that organization of the archival records into group, series or items corresponds to the organization used in the original record system. If the accessioning is an addition to an already existing arrangement in the archives and includes both a run of consecutive item number and other individual items, previously retained by the ministry, they can all be put on the same accessions log as long as they are part of the same arrangement of the archive.

Archival staff should properly arrange and organize the original accessions log properly and securely, marking off actions as they occur. They are expected to put a replica with the archives until they have been placed in their final location in the archival repository for easy access and identification. When all these archival practices have been completed, staff of the archive will endorse it by signing the back of the original accessions log. Note that accession logs should be filled according to level of the arrangement. The archive is expected to send a

copy of the completed accessions form to the agency or depositor responsible for the records. When the final item list when available, a copy would be sent to the creating agency so it can have full details of its records. If any more detailed list or descriptions is added, it will also be sent separately once they are concluded.

A picture of an accession form

MUSEUMS OF THE PEACEFUL ARTS						
ACCESSION No. S	DATE	ACCEPTED	BOUGHT			
OBJECT	FOR GIFT <input type="checkbox"/>			LOAN <input type="checkbox"/>		PURCHASE <input type="checkbox"/>
SUBMITTED BY (FULL ADDRESS)					PRICE \$	
CORRESPONDENCE FROM						FILE
RECEIVED BY HAND	MAIL	EXPRESS	FREIGHT	TRUCK		NEG. No.
CHARGES \$	LABOR CHARGE		REPAIRING			DATE PHOTO.
SIZE	LENGTH	WIDTH	THICKNESS	WT.	LBS.	
MATERIAL	POWER REQUIRED		PAT. No.			PASTE PHOTO HERE
BUILT BY	YEAR		INVENTORY VALUE \$			
LOCATION OF EXHIBIT			LABELS	CATALOGUED		
ACCEPTED BY		REFERENCES IN BOOKS (SEE REVERSE)				
DETAILED DESCRIPTION						
DIRECTOR'S SIGNATURE			CURATOR'S SIGNATURE			
FINAL DISPOSITION	SOLD	DONATED	TO	DESTROYED		

Source:

https://upload.wikimedia.org/wikipedia/commons/e/e9/Accession_form%2C_Museum_of_the_Peaceful_Arts.jpg

Completing the Accessions Register.

Completing the accession register is another archival practice. But first, the accession register is an official paper that documents the entire archival repository's acceptance (records) of responsibility for the resources it documents. It is through the accessions log that confirmation of handover of custody of manuscripts to the archival institute is made.

The accession log is also used by the archival institution as an internal control tool (used in checks) for the archives. Clearly, it is labelled and kept secured and is not open to visitors or researchers' viewing or accessibility. In a situation where a particular accession register volume is exhausted, the exhausted, filled-up or completed accession register should also be accessioned for permanent preservation as part of the institution's archives. In other words, the accession register is also an archival material itself when the particular volume in use is completely full. It is expected as a practice that, the archives staff first ascertain that the accession tallies with the information on the accessions log and any related lists and that the accession is completely done before making an entry in the accession register. Some of the manuscripts are missing, the staff will immediately contact the transferring institution or, the depositor immediately to clarify the situation.

The newly accessioned manuscripts are expected to be documented in the accession log and there will be an entry to match each accession

form. A separate accession number will be allocated to each entry in the accession register. This accession number is unique or special and usually comprised a sequential number and the year, starting again at from 1 of January each year. The accession number is normally written on the front of the accessions form when the accessions register entry has been made. This helps to keep account of each copy of the records in the repository of the archive and helps to know when a particular record is missing from the archive.

It is the responsibility of the repository to assign appropriate groups and series to records. In the instance where the accession comes from the records office or records centre, the staff responsible decide the appropriate series/file/item numbers before the records arrive. In this case, the full archival reference (remember they are the record group, series and file) can be entered in the accessions register. If the staff has not yet assigned accessions numbers when the records are received, he/she will enter sufficient details to identify the materials and full archival reference later. Thus, in these situations the accession number will be used as a temporary control number.

In accession register 'action completed' should not be signed off until all the expected actions on an accession have been executed and completed. This includes assigning the archives to a series and distributing a final description of the records. It is important to make or note an entry whenever an action on an accession has been duly completed so one can have an accurate description of any outstanding work at any time. At least once a month, the archival staff responsible for checking the accessions register must monitor which accessions have work remaining on them and set out a plan on how to complete the outstanding actions. It is a rule in the profession that **No accessioning of manuscripts should have any outstanding work for more than a period of 12 months.**

The following guidelines are to be strictly adhered to, to help you as an archivist in completing the accession register:

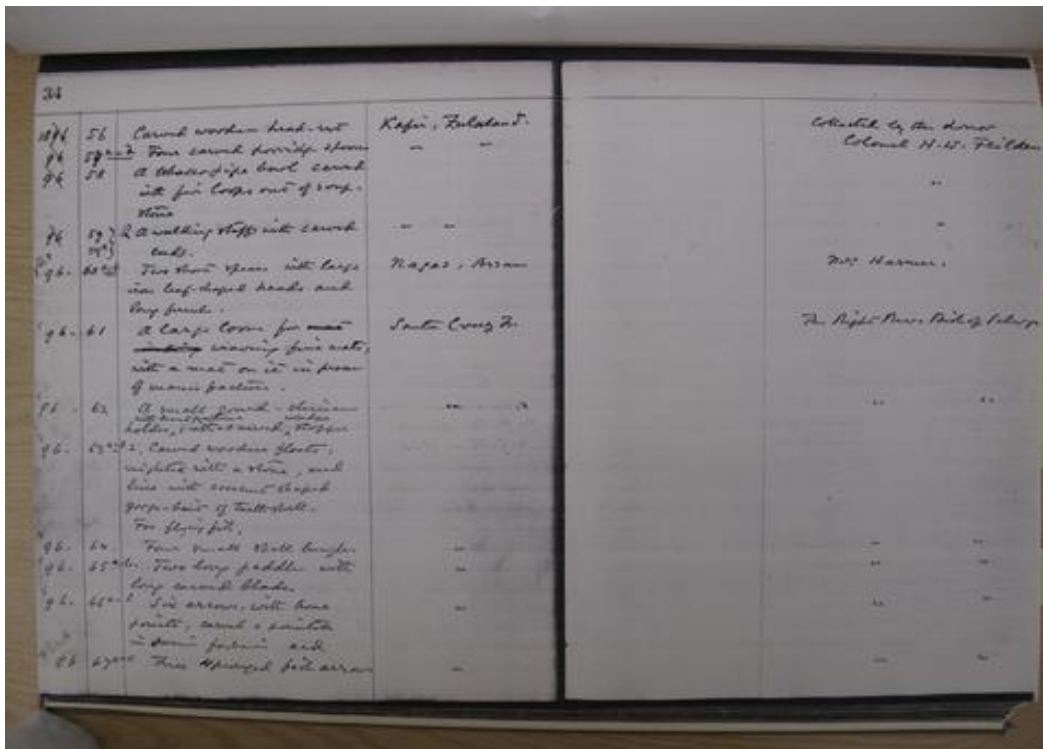
1. You must make a single entry of new records for each accession into each series.
2. You must enter the following information into each column.
 - a. The accession number: Enter the year, followed by the next available serial number, starting from 1 January of each year. Example 2012/1, 2021/2, 2021/3 etc. The accession number is unique no two records should have the same accession number.
 - b. The date it was received : Enter the date on which the record was received.
 - c. All necessary information on the new records received: If the series number and title are known, enter them. But in a

- situation where they are unknown, give brief title / description to identify the materials. You are to enter the covering dates and the number of boxes and in some cases you indicate the quantity.
- Source where the records was transferred from or the depositor: Enter the name of the creating records agency responsible for the materials. Assuming the records are from record centre add ' (RC)' after the office or the name of the ministry.
 - The archival location which contains information on the final reference numbers given to the archives in the accession, including the record group, series and file numbers. They should be entered as soon as they are decided.
 - Full remarks must be entered concerning any access restrictions on the records of item missing from the accession or retained at the time of transfer. It is vital to include any other notes that the archivist will find useful.

Initials of person receiving accession and date: Enter the initials of the archivist undertaking the work and the date the register was completed.

- All these we have listed is shown below in the picture.

A picture showing entries in an accession register



Source: <https://fhya.org/uploads/r/museum-of-archaeology-and-anthropology-university-of-cambridge-maa/2/0/f/20fe3c2111237a02a59ce4e9022484d8ea0d3834879433bb563>

[c89755e4039c5/MAA_FE_1896_MAA_Copy_of_Accession_Register_19_E_1896_59_p034_141.jpg](https://img3.exportersindia.com/product_images/bc-small/2019/10/488259/accession-register-1570088994-5102847.jpeg)

A picture of an accession register



Source: https://img3.exportersindia.com/product_images/bc-small/2019/10/488259/accession-register-1570088994-5102847.jpeg

4.0 SUMMARY

This unit examined the general management of the archival institution, accessioning of records in the archive, the procedures to be taken before accessioning and the information contained in the accession register. In summary if records arrive from an external source, it is the responsibility of the archival staff to complete an accessions form for the whole package, by providing adequate information to identify the record group and to take note of the provenance.

5.0 CONCLUSION

Due to the type of manuscripts in the custody of the archival institution, there is utmost need for the archive to be well managed and to achieve this; the general management of the archival institution must be well planned according to the policy of the institution. Training of the newly employed staff of the archival institution must be of high priority. The staff should be trained on matters of security, how to handle the records, procedures to take when accessioning the records and the importance of the records in their charge.

SELF ASSESSMENT EXERCISE

List the guides for records selection.

6.0 TUTOR- MARKED ASSIGNMENT

1. What are the criteria for selection of archives for custody?
2. What are the steps to be taken in acquisition of archival materials?
3. What do you understand by Legal custody of archival material?
4. What types of statistics are recorded in annual reports of an archive?
5. List the procedures before accessioning upon arrival to your archival institution.

7.0 REFERENCES/FURTHER READING

Mauthner, N.S. & Gárdos, J. (2015). Archival practices and the making of “Memories”, *New Review of Information Networking*, 20:1-2, 155-169.

The National Archives (2016). *Archive Principles and Practice: an introduction to archives for non-archivists*.

UNIT 4 ARRANGEMENT AND DESCRIPTION OF ARCHIVES. (PART ONE)

CONTENTS

- 1.0 Introduction
- 2.0 Intended Learning Outcomes (ILOs)
- 3.0 Main Content
 - 3.1 Levels of Arrangement
 - 3.2 Arranging Archives within Series
- 4.0 Summary
- 5.0 Conclusion
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

1.0 INTRODUCTION

This unit describes what happens to records after they have been received by the archival institution, and the principles used to identify their original order and origins. Archives are just like books in the library which after acquisition, must be accessioned and classified before shelving. The same goes for archives which are prearranged into levels (classification) according to archival principles.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

- discuss the level of arrangement of archives
- arrange the records according to group, series and items
- explain how to arrange archives within series and the levels of arrangement
- apply the principles of levels of arrangement of archives.

3.0 MAIN CONTENT

3.1 Levels of Arrangement

The archival institution regardless the format or medium divides its archives into different modules which are itemized into record groups and series. This module ordinarily shows the ways each of the records were generated, maintained and also how they are / were preserved. There are five (5) levels in archives *Wendell Holes* of the United States National archives invented these arrangements.

Repository

This means the collection, holdings or documents of university, institutions, or organizations. It can also be described as the storage for indefinite or permanent placement. The total holdings of an organization may be divided into major categories for storage in an archive. Examples of repository are institutional archives, departmental archives, special archives, religious archives and military archives. All collections will be kept in the designated archives.

Record Group and Sub-Group

A record group is defined as a body of organizationally related records established on the basis of provenance with particular regard for the administrative history, the complexity and the volume of the records and archives of the organization or institution involved. The record group is usually the largest unit of management in relation to physical control. The word “group” in archive management refers to be the entire archive produced by a particular organization. Fonds can also be used to describe the collection of records of a particular organization or an individual. For government records, record group refers to the entire body of the archives produced by a ministry and its units subordinate to the ministry. In the university for instance, records originate from common sources such as the academic planning unit, Human resources unit, Vice-Chancellor’s office etc.

A sub-group is a body of related records within a record group. It consists of the records of primary subordinate administrative units. The sub-groups may also be established for record groups that can best be delimited based on functionality, geographical or chronological relationship. It is important to note that a sub-group can be divided into subsequent subdivisions. For example, a sub group in the academic planning unit can consist of staff matters while another sub-group could be students’ matters. A manuscript group is a body of manuscript in a manuscript archives. It is also equivalent to a record group. In non-governmental archive, the archival records produced by a single non-governmental organization or by public figure are managed as an archive group.

Characteristics of record and sub-record group

1. Both complexity and quantity of body of records are taken into account in record grouping.
2. They are based on the principle of Provenance.
3. They are established as collective groups to bring together like bodies of materials. This applies to institutions that have a large number of entities.
4. Record groups must be clear and understandable.

Series

Just as in publications, series equals a group of files or documents maintained together as a unit because of some relationship arising out of their creation, receipts and how they are used. A series documents a particular function or process in the activities of an individual or organization. Series include letters and their copies are compiled to make up a series. The compilation of series makes up the sub-group while the compilation of the sub-groups make up the record groups. Series (Class) is the basic unit of administrative control of archival collections. Series is the term assigned to the entire unabridged body of records produced by, and used in, a single recording system. For example, the Bursary department of a school. We have sub-units such as the payroll, budget and planning, expenditure and audit to mention a few. The records from these sub-units make up the series of the bursary department. The bursar's office will have files containing their various internal memo and if the bursary department is now writing to the Vice Chancellor's office the records from bursary will form a records group in the Vice Chancellor's office. So in other words the Bursary department series performs a specific function. The series generally is a function carried out by a record generating center, while all the archives in a series comprises the pieces of papers combined to form record type for a unit or department. The records constituting series are records within record group and subgroups that are related by creation, activity, use or form whereas, subgroup comprises records in different format such as files, bound volumes, boxes. A class has one physical characteristic. It is the basic unit of archival arrangement. An example is minutes of meetings. It is important that the archivist preserves the method in which the chronicles are organized within the records center that created them. In other words, simply as an archivist you are to make sure that files coming from a particular record center are stored together and likewise the sets of materials that share common function.

The homogeneity of any series typically rests on the bulk or volume of the creating agency and the quantity of its archives and the way they are preserve. For instance in a government ministry where there are numerous bulky and distinctive categories of registered files, and each of these files has its peculiar function in the ministries, each series as they are created must be treated as a separate series. For instance, the series created in the bursary should be treated separately from those created in the registry. The series should be given a title, which will give a clue about the content of archives in the series. Archival staff and researchers rely on by the series title to determine if a particular item they are searching for is in the comprehensive list of the series' contents

Items

Items are individual documents found within the file folders such as letters or memo. An item is the smallest discreet unit in an archive. It could be a single record or manuscript. An item or document may range from one page to several pages as the case may be. An example is a copy of an internal memo from one unit to another. This individual document may be worked upon sometimes as the unit of handling though in most real-world circumstance, an item usually is a file which contains documents, or a volume containing pages.

File unit

File unit refers to the unit in which individual items are grouped to facilitate filing in the correspondence series. The file unit refers to the individual files containing letters, memos etc. Arrangement of files may follow chronological, alphabetical, geographical, numerical, and personal order. It is important to note that there is no specific arrangement of archival materials. Depending on the volume the institution crafts out what is suitable for them for easy identification, accessibility and use.

3.2 Arranging Archives within Series

The nature of the series is what determines the arrangement within it. Professionally, archival materials are arranged just as they were while they are still active but this is not always the case. In some cases, an arrangement may have to be imposed on the series especially when the majority of the archival records with enduring value have not been selected for preservation. Before deciding on any arrangement, it is important to plainly recognise the administrative, legislative and historical background of the manuscripts.

In arranging archives within series, 6 main types of arrangement may be used and they are:

Numerical order: This is the form of arrangement of archives within series using figures. You can also refer to it as alphanumeric order when a combination of numbers and alphabets are used as the original registry system or the numbering system for the records when they are active. Numerical order is the most commonly used arrangement but when items that are to be arranged do not follow a numerical order then some other arrangements may be considered. Arrangements in numerical order reveals the reason(s) they were designated, or the way in which they are most likely to be explored.

Chronological order: The chronological arrangement also, referred to as the date order of items, is arranged by year, month and sometimes day if the day is significant.

Alphabetical order: This particular type of arrangement is often useful in the archiving of geographical divisions, places, regions or names. Alphabetical order is also used for series that have no apparent numerical order. This order is beneficial if there can be a further breakdown of subjects into reduced classes or groups such as Medicine, which can be the Obstetrics and Gynaecology; Haematology; Gastroenterology; General Medicine.

Hierarchical order: This is the most popularly used method of arrangement when a series consists of archives of a body with a precise structure reflecting levels of importance.

Geographical order: This the arrangement used for series of archives originally organised according to their location.

Records type order: This arrangement is usually used for artificial collections. Records brought together for a collecting or subject purpose. This type of arrangement organises manuscripts into record types or media for example corresponding mails, reports, pictures etc. This arrangement should be regarded as the last option to be used only when no other type of arrangement is obvious.

The type of arrangement to be used in an archival institution depends on the staff. It is possible to use more than one type of arrangement at the same time. An example is when archival records are arranged first alphabetically then chronologically.

Illustration of Record group, Subgroup and Series

- | | |
|--|----------|
| 1. Manuscript of an individual
group) | (Record |
| Biographical records
group) | (Sub- |
| Legal papers
group) | (Sub- |
| Business papers
group) | (Sub- |
| Tax papers | (Series) |
| Receipts | (Series) |
| 2. Vice-Chancellor's Records | (Record |
| group) | |
| Fund Raising | (Sub- |
| group) | |
| Correspondences | (Series) |
| In-coming | (Sub- |
| series) | |
| Outgoing | (Sub- |
| series) | |

3. Library and Information Science Records	(Record group)
Admission	(Sub-series)
Correspondences	(Series)
Minutes of Meetings	(Series)
Appointment & Promotions	(Sub-group)
Correspondences	(Series)
Minutes of Meetings	(Series)
Examinations	(Sub-group)
Questions	(Series)
Correspondences	(Series)

4.0 SUMMARY

This unit examined the level of arrangement (Repository, Group; Series, File, and Items). Each arrangement was discussed extensively. Arranging archives within series was also discussed and six types of arrangement Numerical order, Chronological order, Alphabetical order, Hierarchical order, Record type and Geographical order were discussed.

5.0 CONCLUSION

Arrangement of archival material is an important aspect of archival practices. As records are transferred to the archival institution, it will be arranged using any type of arrangement that suits it.

SELF ASSESSMENT EXERCISE

Explain the levels of arrangement in archive.

6.0 TUTOR- MARKED ASSIGNMENT

1. How many levels of arrangement exist in archival practices?
Discuss each level of arrangement
2. Explain in detail the six methods of arranging archives within series
3. List and explain the types of arrangement.

7.0 REFERENCES/FURTHER READING

Mauthner, N.S. & Gárdos, J. (2015). Archival practices and the making of “Memories”, *New Review of Information Networking*, 20:1-2, 155-169.

The National Archives (2016). *Archive Principles and Practice: an introduction to archives for non-archivists*.

UNIT 5 ARRANGEMENT AND DESCRIPTION OF ARCHIVES. (PART TWO)

CONTENTS

- 1.0 Introduction
- 2.0 Intended Learning Outcomes (ILOs)
- 3.0 Main Content
 - 3.1 Storage of New Accessions
 - 3.2 Challenges Affecting Archives in Nigeria in the 21st Century
 - 3.3 Users' Services and Publicizing of Archives.
 - 3.4 Oral Archives
- 4.0 Summary
- 5.0 Conclusion
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

1.0 INTRODUCTION

It is important to take care of archives in your custody. This could be achieved by making sure that all archival materials are accessioned and transferred into a secure space that supports their protection and conservation while making them accessible to users when needed. Disaster is what nobody wants but it is unavoidable but preventable. Suggestions on how to go about it are made in this unit. Once the archives have been cleaned properly, labeled with their appropriate names and listed on the accession register, the next step is to move them to the storage area of the archive. This unit describes the storing of the new accessions into the archival institution and the challenges affecting archives in Nigeria in the 21st Century. It also looked at oral archives and its pros and cons.

2.0 INTENDED LEARNING OUTCOMES (ILOS)

By the end of this unit, you will be able to:

- practice how to store new records as they arrive the archival institution
- fill the different registers in archives
- list the steps taken in completing the Archives location register and other registers
- practice indexing of the archives

- explain the challenges affecting archives in Nigeria in the 21st Century.
- discuss what are involved in oral archives and its problems.

3.0 MAIN CONTENT

3.1 Storage of New Accessions

As new accessions are received into the archival institution, the preservation capacity of where they will be is considered. Due to the enduring value of the records, special care is to be taken when they are in the custody of the archive. While in the archival institution, the member staff in charge is expected to check if the archives in the custody have started showing signs of insect infestation or mould growth. If they are, action is taken to ensure that they are disinfected with appropriate chemical that is not harmful to the records before having them placed with other materials in the repository to avoid contaminating other records in the archival holdings. All archives which are paper-based should, if possible be secured in a box to protect them from the usual causes of deterioration such as water damage; pests; dirt, light damage. These boxes should be of good quality and durable so they can withstand many years of use. Boxes are expected to conform to archival standard for instance:

- The boxes should be made of material that will not likely deteriorate or end up harming the archives in any way
- The material used in making the boxes usually the board is least 1.5mm thick and not too acidic, with pH value of between 5 and 8
- All staples and fasteners to be used on the records must and should be made of plastic, brass or non-ferrous metal that will not rust.

In situation where it will be difficult to box the archives, which could be due to the volume of the records or its shape being unsuitable for boxing or unavailability of boxes, the archival employee will need to organize the materials into neat bundles and in some cases, make available a better alternative to serve as a protective covering. This literally means wrapping them with good quality paper and securing the bundles with a cotton tape. It is important the bundles are labelled with archival references in the same way that boxes are labelled so that the contents are clear and accessibility will be easy. All boxes and bundles must be labelled clearly to show the group, the series and the range of items numbers inside. If available, printed labels should be used but if not, use ordinary plastic stamp. The labelling must be marked in a clear dark writing. Maps and floor plans should be placed flat but if there is

no space, they should be rolled properly inside a protective cardboard case. All reels of microfilm should be placed inside a plastic case or a rustproof metal box for safe keeping from moist, dust and rough handling. Archival pictures are to be placed in acid-free album or individual acid-free folders before placing them in boxes for storage. When all these have been done and the records have been cleaned, properly labelled, neatly and properly boxed and checked to ascertain all expected actions are done, then, the records are ready to be transferred to the storage area in the archive.

The storing of records by series is usually based on the level of arrangement of records in the archival institution. The series as a whole will be stored together, in a numerical order of files and items. Although, it is important to know that not all series in a group may be stored together as this would require the continual rearrangement of boxes. The series may be stored as whole in one location but when this is not possible; the designated staff of the archive will separate the series and have them stored in more than one location. But if an accession contains items missing from earlier accessions, the items formerly missing should be inserted in their correct position in the sequence of items numbers. The designated staff can decide where each accession should be stored by using the location register and the floor plans of the institution. There are some records that have more enduring value; a special label will be added to them to specify the year they will be open, using the wording 'CLOSED UNTIL'. Also, special storage arrangement will be made for the archives to be closed for longer than the 30 years period. Since 30 years is the maximum period an archive is expected to be open. In a situation where an accession contains items that are particularly sensitive and require a special storage, these records would be placed in a locked storage area. The archival staff designated to manage the materials will either make a separate entry for the items in the location register or would insert fakes in place of the items, directing employees to them.

Security and Preservation Methods in Archives.

The security and preservation of archival materials are done to ensure the safety and life span of documents, records, materials or manuscripts of enduring value. Materials need to be preserved and secured from mutilation, theft etc. There are different types of threats or disasters faced by archives. They are natural disasters (Hurricane, Tornadoes, Flooding, Fire) and man-made disasters (fire out break due to arson, flooding caused due to water taps not properly closed)

Measures to prevent any form of disaster are:

1. water tight fire extinguishers
2. security guards, CCTV

3. fire alarm
4. ensuring the water taps and pipes are in good condition in the archives and the roofing is also intact.
5. The staff of the archives should be trained in security and preservation of archives.
6. When the archival records or materials are damp, Air conditioners though they are quite expensive is advised to be installed in the rooms usually they are good in the preservation of the delicate materials in the archives. Alternatively, the materials can be aired under the sunlight in a case where there are no Air conditioners or electricity.
7. Constant power supply is needed.
8. When we have damp materials and is no sunlight due to frequent rain, a dryer can be used instead. However, care must be taken in the dryer's setting to avoid over drying the materials which may lead to tearing.
9. In situations of war, archives are advised to construct bomb resistant walls for their materials
10. Researchers to the archives should be advised to use the materials carefully because of the delicate nature of the materials.
11. Measure to curb infestation by insects such as ants, cockroaches, silver fish , termites , book worms , moth, wasp etc. should be put in place. The shelves should be painted with oil paints. Fumigation should be done regularly.
12. Apart from fumigating the premises, chemicals such as Gamalin 20 can also be used wave of insects.
13. Mil dew(caused by dampness) affects books and other archival materials and manuscripts. Usually it destroys the type face of the documents. To control or prevent this from happening, the relative humidity of the archival institution should be kept at 55 degrees.
14. Dust is another obstacle of archival materials. This is also a health hazard to asthmatic users . use a dry rag to dust the shelves and the books with hard cover.
15. **DO NOT SLAP THE MATERIALS OR BOOKS** rather wipe with rag and make use of vacuum cleaners for sweeping. Slapping of the materials and books in the archives destroys the spine of the books.



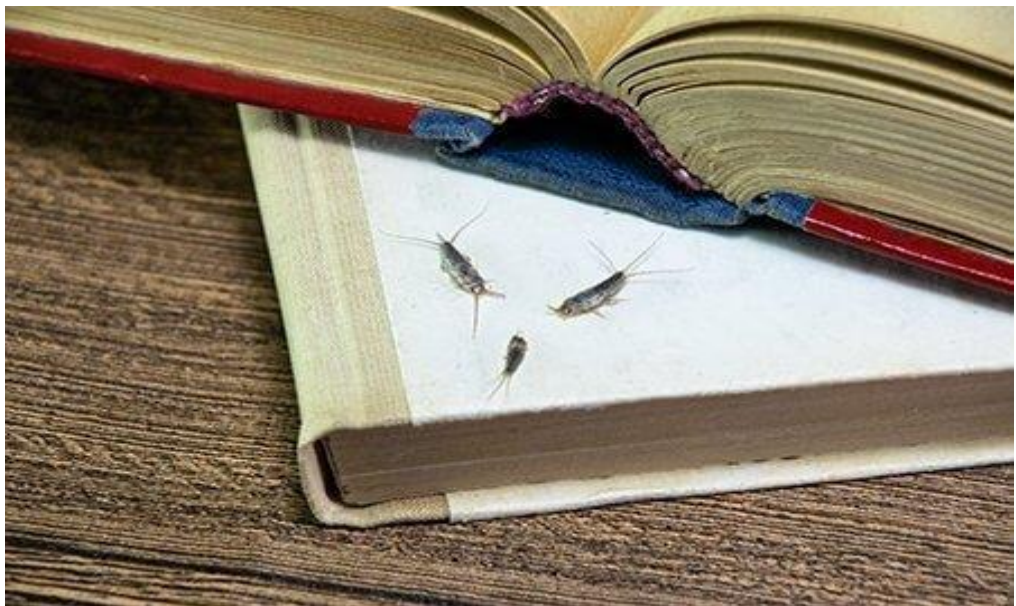
Water tight Fire Extinguishers



Fire Alarm



Insect (termites) infestation on a book



Insect (silver fish) infestation

Archival materials are unique in nature and can be transformed through reproduction. An example of materials that can be transformed is photograph. This could be done by copying or digitalization.

Theft

Although physical attacks may not be a danger to archives and all the collections in its custody but theft is a serious challenge. Many archivists can testify that there is no defence against a clever thief yet, measures need to be taken to minimize theft in archives. Some of these measures are:

1. Immediately the materials arrive the archives, the archivist needs to process them in order to show their ownership.
2. Maintenance of bibliographic control over the archival collection is very important.
3. Electronic security systems should be installed. Instead of security guards, many archives now use the Closed Circuit Television (CCTV) for surveillance to check theft. When the CCTV is installed in the reading areas of the archives, it conveys the activities of the readers to where the archival staff on duty is stationed to observe their activities. This helps reduce the need for human surveillance. For an archive with more than one reading room, the CCTV method may not be suitable because of the cost implication except if the archival institution is a rich one. The idea of the CCTV is borrowed from banks because they use it a lot for the protecting of the banks against robbery.
4. Another system that can be used for preservation and conservation of archival materials is the two-way mirror system. This is safer and less expensive to get.
5. Reprography is another measure that can be used to secure and preserve archival materials. Reprography is the reproduction of documents by photography or xerography. This helps to protect the original copy of records while making photocopies available to researchers, but it requires functional photocopying machines as well as constant power supply.

Completing the Records Location Register.

To complete the records location register, these instructions must be followed carefully and strictly:

1. use a single and different page for each archive group
2. make a single notation for each series, by arranging them in numerical order
3. enter the locations of the materials in this format:
Archival digit/ Classification scheme/ Shelf letter
4. in a situation where the entire series of a particular unit are collectively kept together, in an uninterrupted run of shelving,

enter the series number and the location of the first and last items but if the series are split between more than one location, enter each location separately, giving the range of numbers in each.

When all the above actions have been executed, an authorizing employee will confirm completion and sign at the back of the accession log specifying the work is done satisfactorily.

Records Received from External Sources

The archive staff need to discuss the terms and conditions of acceptance of materials when acquiring records from external sources. The terms and conditions can be spelt out clearly on the accessions form or it can be in a separate agreement signed duly by the depositor of the records and the archival institution. These points should be clarified properly to avoid any form of confusion or assumption by either of the parties involved:

1. if the title of the materials remains with the depositor or is being transferred to the archive.
2. arrangements for appraisal, either before or after transfer, this includes who makes the final decision
3. the disposition of materials not considered worthy of permanent preservation
4. plan for provision of copies to searchers, this includes identifying the owner of the copy right and authorization of publication
5. arrangement for the use, publication and copyright of finding aids
6. if the archives deposited can be used in exhibitions or outreach projects at the discretion of the director of the archival institution

Accessioning Copies of Archives

All copies of original archives in the custody of the archival institution should be accessioned in the same way their originals were accessioned. The register of copies of archives contains details of all copies made of materials in each group of records. The following information must be recorded:

1. the reference numbers original copies if any
2. item number assigned to the archives
3. type of copy (a photocopy or microfilm) and number
4. the location for easy accessibility to avoid wasting the time of the information seeker.
5. the chronicle of the archives should be labelled clearly and securely placed.

Completing the Register of Copies

When completing the register of copies of records in your charge, follow these instructions carefully,

1. always make use of a single page for each record group
2. make a single entry for each series (if the whole series has been copied) or each piece of consecutive items (if only a part of the series has been copied)
3. enter the specifics in the following columns:
 - reference number of the originals
 - item number (for each microfilm if the record is in an electronic format or other type of copy)
 - type of copy and number (if the copy is marked with a number)
 - the position of the records in the archival repository.

Indexing of the Archives

At the archival institution, researchers, scholars, readers arrive most times not having an idea which level of arrangement may contain information that they seek. An index is a vital instrument which helps point readers to the relevant class available in the archival institution. Armed with a good index, readers, researchers and scholars can make quick and accurate searches, saving their time as well as that of the archival staff time. The archival institution may decide to create an index to the item level, so that the seeker's attention is drawn to interesting individual items immediately. An index needs to be internally consistent and the archival staff must follow the rules and guidelines strictly as it is established in the archival institution.

An index is expected consist of these 4 elements:

- The headings
- The sub-headings
- The archival references
- 'see" and 'see also' references

The headings may consist of terms representing the following:

- corporate names(government departments, courts, commission and businesses)
- personal names(names of government officials. missionaries, CEOs)
- places names (geo-graphical zones, countries, states, local government)
- subjects (land grants, schools, universities)
- record type (fiscal accounts, maps and plans)
- generic information (record group).

Index entries is designed to aid retrieval of information from the archives or the records office by information seekers. The index to the archival institution should be kept in the special room called the search room. If the index is on cards, the cards should be help in a card drawer secured with a rod and only the authorised staff can remove it from the card drawer.

3.2 Challenges Affecting Archives in Nigeria in the 21st Century

Despite the important functions that archives play, archives in Nigeria, still faces some major problems which include lack of human capacity building for the staff, lack of awareness by the public of the collections in their custody and the importance of these collections, in adequate amenities, in-adequate qualified employees, fiscal issues, poor condition of services and out dated mechanisms used in the preservation of

records. Most people are unaware of the benefits that can be gotten from using the archives. It has become important for the archival institutions to improve the public's awareness of the resources and services available at the National Archives of Nigeria, if this is done properly many institutions and individuals will benefit from the available resources and services it renders which may end up helping all in their development efforts.

Despite being an agency of the federal government, the National Archives of Nigeria is deprived of some amenities that can enable it achieve the aim of its establishment.

Amodu(2019) noted that beyond the achievements of the National Archives of Nigeria, the shortage of manpower is a major challenge of the archives. He reported that as at 1986, there were over a hundreds of staff at the institution by 2019, the number has drastically reduced to less than two scores including those on essential services like securities and others in this category performing the works of over one hundred staff in the national archives(NAI Archivist, 2019). Without doubt, working in an archive is task demanding and it requires high level of professionalism that is only obtainable from training and retraining of both the existing and newly employed staff. In the National Archives of Nigeria, the staff were neither trained nor retrained on the rudiments of archives in line with the changing phases of the globalized world. This means that presently, the staff National Archives of Nigeria who the nation's heritages are under their custody and watch are still operating at the elementary level of archival management in the changing world

The 21st century society is gradually moving towards digitalization. It would be interesting to note that the National Archives of Nigeria are not making progress in digitalizing her collections to suit the current trend(NAI Archivist, 2019). For National Archives of Nigeria to live up to its expectations in providing effective , appropriate and unbiased stewardship of a nation's historical records, consistent funding and support must be made available (Council of State Archivist, 2013). Another challenge affecting archives in Nigeria is lack of funding. This has led to having no functional power generator, lack of utility vehicles for acquisition, inability to repair or replace damaged electrical or mechanical equipment.

3.3 Users' Services and Publicizing of Archives.

How do you as a library and information science student publicize archives? These methods or ways could be used:

1. through the mass media such as the television, radio and the national dailies
2. Through excursion and tourism
3. Through printing of posters and stickers (with detailed information).
4. Through referral from researchers that have used the services .

Users of archives differ in characteristics depending on the location of the archives. For example archives located in the university community serve staff and students while archives capacity serve heterogeneous users. Every archive must live up to its responsibility of providing information to users and in order to achieve this effectively an archive must have a policy statement that outlines its conditions of use. An example of a policy condition is that archival materials are not to be loaned , borrowed out or sold to any individual. The archivist must be up and doing in guarding the special collections in their custody. The policy statement must define who the users are, the responsibilities of the archives and the amount of records of the archives that can be given to users at any given time.

Upon the arrival of the user or researcher to the archive, the individual must be interviewed to know what he/she wants. This is done to help the archivist determine the materials needed by the individual. In some cases, a letter of introduction must be requested from the users especially when the user is not from that academic environment. Interviewing archival users will help the archivist in a situation where the material being sought by the user is not available in that particular archive. The archivist can either refer the user to another archive that holds such material or the archivist may help source it. This is akin to interlibrary cooperation.

Archival services can be publicized through the following:

1. Suggestion boxes. This helps the archivist to know where the users are not impressed or happy with their services so that there could be improvement.
2. Reference services: This is a highly specialized service in the library and archives because it is the section where users make enquiries and get the materials needed for their research. In the library, the reference librarian is the person in charge of the reference section. The reference librarian is trained to listen patiently and attentively to users in order to understand their needs and to serve them rightly. Such person must have a good command of language of the profession. A good reference service in an ac depends primarily upon accurate comprehensive finding aids and knowledgeable, helpful reference staff. The

reference archivist combine a knowledge of the materials they administer with an ability to deal with the users. The heart of the reference process lies in understanding the researcher's enquiry and suggesting the kinds of records that the archival institution have that may be useful. The archivist arranged and described according to the principles of provenance and original order, the reference archivist is the translator between the subject-oriented questions that researchers usually pose and the records they administer.

3. It is important for the archivist to keep updated statistics of patronage by the archival users to know if the archive is making impact or not. Keeping the statistics will help the archive to improve on their services. Statistics also helps to identify what the archival users need and the type of materials to acquire. This would further aid provision of Selective Dissemination of Information (SDI) service.
4. Exhibition is another way of publicizing an archive. It is an important public service that should be done at a regular intervals. Exhibition is important because it helps to draw attention to the archival collections, thereby improving inflow of researchers.

Objectives of exhibition:

- To create awareness of the archives services and information sources.
- To create demand and use for the information sources and services exhibited.
- To enhance the status or give credit to the efforts of the archives staff
- To create awareness of the services of external exhibitors.
- To generate money for the archival institution.

Steps to take before having an exhibition

- Get permission or approval for the event.
- Set up an internal committee for the exhibition
- Above all, the reason(s) for holding the exhibition must be mapped out before planning because exhibition is a publicity method that promotes the use of archival records and manuscripts.

Other ways archives can be publicized are:

Production of users' guide in the form of handbooks that contain vital information that could be useful to the potential patrons. Such information may include:

- the arrangement scheme used to organize the collections.
- Information on the opening hours
- Rules regarding the use of the archival collections, records and manuscripts.
- Retrieval devices available in the archives and if possible how to operate them
- Advertisement through Newspapers, Television, Radio jingles etc. Both electronic and print media. Although this may be expensive, but money must be spent to get good publicity.
 - Annual report is another important tool for advertising the archival services and products because in every report, the archive has a space to write about their services and products.
 - Depending on the size of the archive, it may have publications like newsletter.
 - An archivist must be proud his/her profession. As a professional , you are to make people love you as a person because if your users dislike you , they are bound to dislike your services too.
 - When users are satisfied with your services in the archives, they will be the ones to publicize your archives to others; and when “others” finally visit the archives and they are satisfied, they too will help to publicize your products and services.
 - An archivist must be aggressive in marketing. He/ she needs to know every aspect of the job and be proud of it. Always be on alert, friendly, always offer assistance to users because they may be the ones to help you or your institution in publicity.

3.4 Oral Archives

Oral archives are undocumented materials of an archive. It is handed over from one generation to another by word of mouth or orally. Oral history is the oral account of events. In oral archives, documentation of an oral account of an event is done through voice and vision. It is different from oral history. Oral archives rely on memories. Oral history is therefore the target of an oral archive.

Equipment used in the oral archives are video cassette, tape or voice recorder. Oral archives are more interested in the oral culture. They capture contemporary events and even go beyond history itself. African culture is diverse and is largely oral. Oral history and oral archives ensure the continuity and documentation of events as they unfold. The Documentation is very important in oral archives. Therefore both the librarian and the archivist to a great extent hold it as a duty to their users to provide oral archival information.

Scope and Development of Oral Archives.

The vast nature of oral archives materials often presents problems in acquisition and this should be handled carefully. In Africa, there is no trade list for purchase of archival materials and because of this the archivist will do well to identify prominent individual(s) in the society especially old people to appraise their records. If the appraised records are good, the archivist need to obtain permission before from the old people that gave them access to the oral archives, before recording it and in a situation where they refuse to oblige them, the archivist does not have the right nor permission to do so because it will be considered illegal.

The kind of materials that can be captured in oral archives include:

1. Religious activities such as Christmas carol, women society meeting, crusades, Quranic citations.
2. The history or speeches of very influential personality in the society can be captured using a voice recorder after which the recording can be organized, formatted and distributed. An example past Presidents' speeches made in public. This is usually useful to disciplines such as Sociology, History, Archeology.

The acquisition, development of oral archives poses great challenge to archivists because of the mode of transmission that is done orally and not documented.

The advantages of archives and records include the following:

1. Verification of facts
2. Compilation of the materials and records
3. Policy formulation
4. Project planning.

An archivist encounters problems with some individuals especially when trying to conduct interviews, depending on the sensitivity of the information. Also, because people do request for money while others insist that clearance must be sort for before sought interviews are granted. All afore mentioned are the bottle necks that oral archivists encounters. The only alternative to all of these problems is for the oral archivist to exercise patience and caution. Caution and patience are the best attributes of a professional archivist.

Education and Training Required for Oral Archives

There have been an unresolved debate about the training of Archivist. Some schools of thought are concerned whether the archivist should be trained as a historian or as a librarian? This is an ongoing debate on concerning the archivist. The problem is if the archivist is trained as a historian his emphasis will be on the historical aspect of the work besides observers have not observed that library training focuses on the treatment of individual items (library resources) while archival training would focus on the collection.

T.R. Schellenberg opined that a library school rather than the department of history is better to offer the training a professional archivist would require. An archivist should be trained as an archivist and not as any of the two mentioned professions. The reason is for the archivist when trained as one, will function well in the archives. Although if the archivist ends up been trained as a librarian, the archivist should be trained according to archival demands.

Legal Implications of Tape Recording Voice without Permission.

It is essential to have laws directing researchers, students to deposit copies of the tapes with translation of their field work in the archives or library. All institutions collecting oral archives / literature should publish their holdings, so that they can be known and used by the researchers interested in the holdings. This simply means creating awareness of the holdings and also giving access to researchers. Although this does not apply to materials with restriction embedded on them. The Nigerian copyright Act of 1988 which was amended in 1992 is the enabling legal instrument for copyright practices in Nigeria. Section 1 of the Act grants copyright protection to the following :

1. Literary works
2. Musical works
3. Artistic works
4. Cinematographic films
5. Sound recordings
6. Broadcast.

Copyright is also applicable to tape recording of an artist's work or voice without having permission. This is piracy in the music industry. Piracy is a criminal offence and violator(s) can be charged. Many copyright violators are ignorant of the seriousness of their offence because they see piracy as a money making venture. Almost all the intellectual works have been pirated in Nigeria with unprecedented consequences; whereas these pirates line their pockets with money and

smile to the bank to make deposit while the original author, creator of the pirated work wallows in poverty.

piracy needs to be checked, and to arrest this ugly trend, an aggressive public campaign should be mounted on the radio and television stations to help in sensitizing Nigerians as to the danger inherent into copy right violation.

4.0 SUMMARY

This unit examined the arrangement and description of archives. We discussed the storage of records including those received from external sources into the archives for which the terms and conditions must be set out clearly. Information on steps on how to accession copies of archives and complete the register of the copies is discussed. Challenges affecting archives in Nigeria in the 21st Century such as lack of adequate training, insufficient funding and improper preservation of the archived records were listed. Ways to sell archives to the public are listed. A little touch on oral archives, its usefulness and problems are also done. Lastly there were discussions on piracy and copyright laws.

5.0 CONCLUSION

In libraries, books are accessioned and classified before shelving for easy accessibility when they are needed by library users. The same goes for archived records, due to their importance they are to be treated with extra care. The records are accessioned as they arrive the archival institution in order to claim ownership of the records. This is done after terms and conditions have been set out clearly on how to preserve the record(s); and for how long they would be active before disposal. People should know about archives through exhibitions and other means of publicity. Oral archives are important so as to let posterity know how it was in the past.

SELF ASSESSMENT EXERCISE

Explain oral archives.

6.0 TUTOR-MARKED ASSIGNMENT

1. What are the steps involved in completing the accession register in the archives?
2. What are the ways by which archives can be publicised?
3. What do you understand by Oral Archives?
4. What is piracy? How can it be minimized or eradicated?
5. Explain some of the challenges affecting archives in Nigeria in the 21st Century?

7.0 REFERENCES/FURTHER READING

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