Records Management

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# TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>CHAPTER 1</th>
<th>TERMS OF REFERENCE AND SUMMARIZED RECOMMENDATIONS</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>SPECIAL CONSIDERATIONS</td>
<td>4</td>
</tr>
<tr>
<td>3</td>
<td>LEGISLATION</td>
<td>5</td>
</tr>
<tr>
<td>4</td>
<td>ACCOMMODATION</td>
<td>6</td>
</tr>
<tr>
<td>5</td>
<td>REGISTRY SYSTEMS</td>
<td>8</td>
</tr>
<tr>
<td>6</td>
<td>SURVEY AND DISPOSAL</td>
<td>15</td>
</tr>
<tr>
<td>7</td>
<td>RECORD CENTER OPERATIONS</td>
<td>17</td>
</tr>
<tr>
<td>8</td>
<td>STAFFING AND TRAINING</td>
<td>19</td>
</tr>
<tr>
<td>9</td>
<td>ADMINISTRATIVE SUPPORT</td>
<td>21</td>
</tr>
</tbody>
</table>

## APPENDICES

| A          | DRAFT LEGISLATION                                 | 22   |
| B          | PROPOSED RECORDS MANAGEMENT ESTABLISMENT          | 29   |
| C          | FUNCTIONAL FILE FORM                              | 30   |
| D          | MINUTE SHEET                                       | 31   |
| E          | SERIES/CLASS INFORMATION SHEET                    | 32   |
| F          | NOTES ON USE OF SERIES/CLASS INFORMATION SHEET    | 33   |
| G          | SERIES REGISTRATION SHEET                          | 36   |
| H          | LATERAL FILING UNIT                               | 37   |
| I          | SECTION OF REPOSITORY LAYOUT                       | 38   |
| J          | SYNDICATE ON SPACE AND STORAGE                     | 39   |
| K          | SYNDICATE ON TRAINING OF RECORDS OFFICERS AND DEVELOPMENT | 40 |
|            | Annex A. RECORDS MANAGEMENT COURSE SYLLABUS       | 41   |
| L          | THE KENYA NATIONAL ARCHIVES: A SEMINAR ON RECORDS MANAGEMENT PROGRAMME 1978 | 47   |
| M          | RECORDS MANAGEMENT SEMINAR (K.I.A.) SYNDICATE ON REGISTRY SYSTEMS | 48   |
| N          | SCHEME OF SERVICE FOR RECORD OFFICERS             | 50   |
| O          | RECORDS MANAGEMENT IN MODERN PERSPECTIVE          | 51   |
| P          | A TENTATIVE PROPOSAL FOR DISCUSSION: A "MURUMBI PROJECT" | 56   |
CHAPTER 1 - TERMS OF REFERENCE AND SUMMARIZED RECOMMENDATIONS

1. At the request of the Government of Kenya, the consultant carried out from 17 November 1977 to 11 April 1978 a mission financed under Unesco's Regular Programme for 1977-78 with the following terms of reference:

1. Draft public records management legislation and regulations.

2. Plan and conduct staff training in records management in the National Archives Service in Nairobi, Kenya, for both personnel of the National Archives Service and designated officials of other Government agencies.

3. Prepare final report covering all aspects of the mission with recommendations for future action.

2. This particular report is in response to the third assignment. It should be noted that the views expressed herein are those of the author and not necessarily those of Unesco.

3. Under the circumstances prevailing in Kenya at the time, the consultant could not, he felt, avoid interpreting his terms of reference rather widely; in fact he exceeded them in at least one instance. The reasons for doing so are presented in the next chapter entitled "Special Circumstances". But, in any case, the planning and conduct of training in records management could not be done without a substantial investigation of the actual techniques used for keeping records in Kenya; techniques which were, in some respects at least, significantly different to any encountered before by the consultant. Hence a major aim of this report is to identify the main factors inhibiting consistent records management programming and to recommend solutions. This will be done in the following substantive chapters (with appendices as appropriate)-

Chapter 3 - Legislation
Chapter 4 - Accommodation
Chapter 5 - Registry Systems
Chapter 6 - Survey and Disposal
Chapter 7 - Record Centre Operations
Chapter 8 - Staffing and Training
Chapter 9 - Administrative Support.

Summary of Recommendations and Conclusions

4. The following is a summary of recommendations with related conclusions for action by (a) the Kenya National Archives (b) the Government of Kenya and (c) Unesco. All recommendations are in the short-term category.
(a) The National Archives of Kenya

(i) That, whether or not in a revision of the Public Archives Act, a separate Act or subordinate legislation, the relevant portions of the draft revision of that Act and particularly the portion dealing with Responsibilities of Public Offices be brought into force.

(References Chapter 3 and Appendix A. The present Act, though quite admirable as an Act for a conservative Public Archives organization, obviously needs broadening to cover the wider objectives of the National Archives. In particular, no records management programme will succeed without proper emphasis being placed on the responsibilities of the various arms and offices of Government).

(ii) That, irrespective of emergency action for provincial and district records in danger of loss through inadequate storage conditions, the Chief Archivist pursues, with Provincial and District Commissions, the provision of depots of minimal standard to safeguard records pending permanent solution to the problem with the establishment of Regional Records Management Centres.

(Reference Chapter 4. It is essential to prevent deterioration of records to the point of risk).

(iii) That the Kenya National Archives issue a circular, superseding one issued in 1973, exempting public offices from the need to refer accounting records covered by Financial Order F.27 for approval to destroy.

(iv) That investigations be made into the most effective and profitable methods of destroying large quantities of records.

(Reference for both (iii) and (iv) is Chapter 6. Both recommendations successfully adopted would provide immediate, if relatively minor relief and recommendation (iv) will be essential if and when a real disposal programme is mounted).

(b) The Government of Kenya

(i) The Government should, as the most urgent priority, make it possible for the National Archives to rent suitable accommodation in which to set up a Record Centre and a processing centre; not only for provincial and/or district records at serious risk of irretrievable loss through adverse storage but also for those records in Nairobi offices which are so inadequately stored as to preclude identification and evaluation.

(References Chapter 4 and for operational details Chapter 7. No substantial progress can be made in establishing a consistent records management programme until adequate space is available for both record centre and salvage operations).
(ii) That, whatever registry system of numbering is used, registry superintendents or their equivalent endeavour to ensure that the construction and titling of files be such as to identify clearly the administrative activity concerned and to facilitate the closing of each file as a necessary prelude to retirement from the current registry at the optimum point in time.

(Reference - Chapter 5. Much of the difficulty both in reference efficiency and in retiring files from current status, in registry practice, in Kenya as well as the other countries, is caused by the tendency of inexperienced or badly advised registry staff to use large 'omnibus' files rather than well defined and titled files which are usually smaller and of a naturally limited life).

(iii) That, in all cases where a multiple-number (subject classified) registry system is used, rules as specified by the consultant be used to keep file-numbers and subject relationships under control and to provide for indications of date and removal, as early as practicable, of files and/or volumes from current status.

(Reference and conclusion as for recommendation (iii) above).

(iv) That lateral filing units be used in registries in lieu of filing cabinets in current registries.

(Reference Chapter 5 and Appendix H. Almost three times the filing capacity can be achieved in the same space by making the recommended change).

(v) That the present fold around file cover be abandoned in favour of

- a fairly strong backing sheet,
- a plain front cover (as illustrated in Appendix C),
- a minute sheet under the front cover (as illustrated in Appendix D).

(Reference Chapter 5 and Appendices C and D. The proposed change will produce neater and more efficient files and could well prove cheaper).

(vi) That a Task Force carrying out a full-scale disposal campaign be established under the aegis of the National Archives with full top-level management support, as soon as practicable.

(Reference Chapter 6. If a serious campaign is not launched the present backlog would recur despite any emergency Record Centre activity. Chapter 9 and Appendix B deal in part with the composition of the Task Force).

(vii) That the Records Disposal Act (Cap. 14) be amended to cover not only judicial and legal records but also all appropriate classes of 'routine' records common to all public offices.

(Reference Chapter 6. Such action makes the task of preparing individual disposal schedules for public offices much easier and disposal of routine records is accelerated).

(viii) That, in view of the preponderance of personnel files and likely major duplication of information throughout the Public Service a special joint study of personnel record-keeping be made by the Civil Service Commission, Pension authorities, Directorate of Personnel Management and the National Archives with a view to reducing duplication and permitting maximum destruction as early as possible.

(Reference Chapter 6 paragraph 48. A similar exercise in the Australian Government produced excellent results).

(ix) That the proposed Chief Records Management Officer and two Senior Records Management Officers be sponsored by the Kenyan Government for on-the-job training with the consultant's home organization for approximately four months each as soon as practicable after the emergency Record Centre/processing operation (see recommendation (i)) has been mounted.

(Reference Chapter 8. Practical training in an already operating records management programme is essential to round out theoretical training, particularly if system changes are contemplated. In this respect Appendix M might be noted).

CHAPTER 2 - SPECIAL CONSIDERATIONS

5. On arrival, the consultant was frankly astonished at the number and range of objectives and programmes postulated by the Chief Archivist for the Kenya National Archives, and apparently agreed to, in principle or informally if not yet in statutory form, by the Kenyan Government. Apart from conventionally accepted public archives and records management functions with related technical and administrative services, the Kenyan Archives envisages programmes not only for the retrieval of non-government and/or migrated archives but also had documented and put forward detailed work plans for the systematic collection of published documentation, of audio-visual materials, oral traditions, national art in all forms, artefacts and antiquities. In addition to these activities which could all be grouped under the single broad objective of preservation of the country's cultural evidences, the Chief Archivist had top-level public service backing for the provision, by the Archives, of an up-to-the-minute information retrieval and research service.

6. It was not of course the consultant's official responsibility to make judgment as to the justification or for that matter the feasibility of carrying out so ambitious a programme. However, it seemed to him entirely justifiable, particularly in a country with a very short documented history, to group all these activities in a forward-looking and well supported organization. The only caveat to be made is that the original and essential but less publicity-catching activities in the records and archives management field must not be starved of their necessary fair share of resources of space, finance and management support.
7. Significantly the consultant, arriving in mid-November, was present for the final stages of the Chief Archivist's battle to conclude, successfully, arrangements for the Government's purchase of the famous "Murumbi" collection of Africana and its placement in the custody of the National Archives. He thought it justifiable, in the circumstances, to make what he hoped would be a significant, though actually small in terms of official time, contribution to the plan for management of the collection by the Archives. It was a collection that contained most of the materials mentioned in paragraph 5 above. The breadth of the collection, the consultant's admittedly limited but sincere interest in what used to be known as the 'NATIS' concept, and some uncertainty in the Archives about how to treat the collection (as a whole or in separate categories of types of evidences) gave rise to the consultant's preparing a tentative proposal for the management of the "Murumbi" collection in what seemed to him a useful and timely manner. A copy of that proposal is at Appendix A for information, although no specific recommendation is made as part of this report. It is pertinent to remark that considerable progress was being made by the time the consultant left in mid-April.

8. The substantive submissions for Treasury approval for the various planned projects listed in Paragraph 5 above and the onset of the Christmas holidays all combined to frustrate attempts to carry the records management 'mission' into departments until the New Year. The time was not wasted because apart from contributing to the "Murumbi" development and other general developments, the consultant managed a good deal of inhouse training. At the same time, the main redraft of legislation (see Chapter 3) was developed.

CHAPTER 3 - LEGISLATION

9. The first Term of Reference was to draft legislation and regulations in respect of public records management. However, the Chief Archivist requested a complete revision of the Public Archives Act in view of the unusually wide range of functions now being carried out by the Kenya National Archives. It is submitted that it would be a matter for the Attorney-General's Office and more specifically the Parliamentary Draftsman to decide whether some or all of the proposed provisions relating to Records Management should be included in Regulations rather than the Act itself. Appendix A is a slightly modified version of a suggested redraft submitted to the Chief Archivist early in January 1978. At the time of the consultant's departure, staff of the Kenya National Archives had been invited by the Chief Archivist to suggest additions, amendments etc. on the basis of the first draft but no such material had been placed before him for comment.

10. The consultant recommends that, irrespective of non-records management content, those provisions in the draft and particularly those contained in Section 6 "Responsibilities of Public Offices" should be seriously considered for incorporation into a revised main act, regulations or perhaps an Executive Order as appropriate.
11. There is no doubt, in the consultant's mind, that the most urgent necessity in Kenya is to find an immediate solution to the problem of providing space for the older records already accumulated. These are creating, in some cases, intolerable working difficulties in some important public offices and in almost all cases, it seems, inconvenience exists and apprehension is felt as to the future. In a different context space offering at least minimally adequate atmospheric conditions, is required as a matter of real emergency for the records still lying and still deteriorating in some, at least, provincial and district offices. These two major aspects of the space problem can be dealt with separately, though a single solution will be proposed.

12. First it should be noted that, although there are isolated cases of pockets of immediately destroyable records, a special drive to detect records suited for immediate destruction would tie up scarce resources and still not do more than slightly alleviate the problem. By far the majority of the records seen by the consultant are either so important as to warrant very long-term, if not permanent, accommodation or are so crowded that sorting and appraisal are impossible "in situ".

The Problem in Nairobi

13. In certain departments, particularly in the Registrar-General's and Judicial Departments, work is seriously hampered by the inadequacy of space for semi-current, dormant or permanently required files. Most office buildings appear to have been constructed or acquired without much regard for the considerable storage space (and related working space) required by registries. That the magnitude of the problem has not apparently been recognised previously except in isolated cases, is in all probability due to the fact that ministries and departments have only had 15 years or so of independent existence and makeshift arrangements have been possible; but the dam is surely about to burst. Of course a major factor recently has been the fact that the National Archives has virtually no space available for any but the smallest of deposits.

The 'Regional' Problem

14. It appears that, despite earlier expressions of concern in most areas by the officials responsible, the very existence of early and undoubtedly valuable records is threatened by climatic conditions and or attacks by paper-destroying insects. It is inconceivable that the problem will be resolved "in situ" because there is no realistic prospect that sufficient regional record centres with adequate atmospheric control and repair and conservation facilities will be functioning in the reasonably near future.

Proposed Solution

15. The consultant's recommendation as first priority is that safe and secure but economical accommodation be rented without delay in Nairobi and fitted for use, pending the erection of the National Archives and provision of regional centres, as a Records and Processing Centre - an appropriate part of this building being used as a conventional records centre. (See below at paragraph 18).
Another part should be used for bringing together, sorting and repairing in order of priority and as an emergency measure, all Provincial and District records that are judged to be at risk over the next few years. Repair and conservation apart, a high percentage of professional or technical staff is not required for the detailed work in either of these areas (which should however be professionally supervised). A third part should be set aside, as a temporary measure, to allow the removal and subsequent sorting of records from offices with exceptional problems of the kind discussed in paragraph 13 above.

16. The consultant understands that new administrative centres are being built in all Provincial and some District Centres and that adequate 'depots' could be included. Provincial Commissioners are apparently keen on such a development. The consultant further recommends that the Chief Archivist hold early discussions with the Office of the President with a view to establishing as many depots as possible. These could even continue in centres where no Provincial Records Management centres are planned, provided their operations are supervised by the nearest Provincial Records Manager.

17. The removal of fragile or otherwise damaged records from provincial or district offices to the processing Centre in Nairobi presents a major logistical problem and the consultant recommends that the expert on conservation due to visit Kenya in late 1978 be given the chance to advise on techniques for packing and transporting such documents in such a way as to minimize the risk of further damage.

The Record Centre Concept

18. The Record Centre building itself need only be weather and fireproof although it must have at least minimal facilities for staff, telephone communication and a large working/sorting area. Pending the completion of the National Archives building, it should also contain a temporary but efficient and well-equipped repair and conservation facility. Most importantly it should have convenient ground-level loading and unloading facilities. (The lack of this is a serious drawback for the Archives repository in the basement of old Jogoo House which, with a vigorous 'record reduction campaign', could yield quite a sizeable area for further interim archive storage. The consultant therefore feels that the basement at Jogoo House is not an ideal 'record centre'). It should not be forgotten that a good Record Centre virtually pays for itself. On average, each square foot of office space would at present, in a not too overcrowded registry, provide for storage and access to about one and half Shelf Feet (a relative unit of measurement used by the consultant and from now on in this report represented by SF). Even using fixed steel or wood shelving (as opposed to mobile shelving) it should be possible to reach, in the Centre area, at least three SF per square foot. Judging by advertisements in the daily papers, the rental for a suitable 'go-down' or store (of say 20,000 sq. ft. plus) would scarcely be more than 15 to 20 shillings a square foot per annum. Yet the information given to the consultant by Nairobi City Council sources is that, in Nairobi, rented space of the average standard of the newer government buildings runs at about 100 shillings per square foot per annum for ground floor and 50 shillings for upper floors. The consultant estimated that in one area of one department alone some 2000 square feet of first-class office space could be released if a Record Centre were available and economical racking (as described in Chapter 5) installed.
Using the most conservative basis for costing, 20,000 square feet of record centre space, catering for a potential 60,000 SF of records would cost 400,000 Kenya Shillings. The same quantity of records in city offices would (at 50 K. Sh. per square foot) involve about 2,000,000 K. Sh.

19. Costs apart, each Record Centre could and should be staffed by experienced clerical staff supervised by one or more Executive Officers. (More details are given in Chapter 8). The control methods would be simple but so designed that:

(a) both depositing office and Centre staff would be agreed as to what items had been transferred; and

(b) those records transferred that would eventually become archives would be arranged and described in a way which would save the Archives staff much work in due course.

20. From the depositing offices' point of view, the Record Centre should be guaranteed:

(a) no access to any official or person to records it had deposited without authorization by a nominated officer or his deputy; and

(b) the return (on temporary or, by arrangement, permanent loan) of any item on average call in half a day and by an emergency messenger in half an hour.

From all points of view there is potential advantage in the fact that, particularly at the beginning, in cases where longer-term uses are not yet assessed, the 'issue and return' control system can be such as to record the actual use or non-use of any series (or class within a series) over a given period.

21. It is the consultant's experience that after the Record Centre Service is working well and staff get more conversant with the records, quite often factual information can merely be phoned through instead of having a file or document issued.

CHAPTER 5 - REGISTRY SYSTEMS

(Note. In an attempt to keep theoretical discussion out of this highly technical section of the report, a special Appendix 0 contains what the consultant believes is important information about the origin of modern files and filing systems).

22. As is elaborated in Appendix 0, there are broadly four systems that are used in present-day registries and which, for convenience, are presented by the following symbols in this report:

System Y/S - a symbol standing for a system in which each year a new sequence of numbers is begun, each number being simply the next available in chronological order and having no subject significance - all subject control being done in a subject index. A typical number would be (T&C) 78/3124.

System S/N - as for System Y/S but without a yearly prefix.
23. During a cross-sectional survey, by a survey team consisting of the consultant and two members of the Kenya National Archives staff, of Government Ministries, Nairobi City Council departments and a parastatal organization, it became apparent that virtually all use, for general (and secret or confidential) registry files, an M/N or A/N system. The use of Y/S or S/N systems was confined to series of 'case' files or personnel-type files. The majority of the M/N and A/N systems, though amended quite significantly at times, if not actually replaced, were inherited in form or in substance from the British colonial departments most concerned. The classification scheme is usually contained in a loosely bound foolscap 'book' usually called the 'file index' containing reference number and title of each file. There are usually several copies of this file index and (presumably) a new edition is reproduced when a significant number of new files are added.

24. It will be obvious from Appendix 0 that the consultant believes that system Y/S is the one most suited for modern record keeping in central registry areas, principally because, if and when substantial changes in subject matter dealt with occur, the system does not require re-numbering of files; but also, with the Y/S system the separation of semi-current or non-current files from current ones can be made virtually an automatic procedure. After lengthy reflection, the consultant had decided not to recommend a universal change for the following three reasons:

(a) to change over requires a supervisor familiar with both the ministry concerned and the Y/S system;

(b) there is inevitable interference with routine business and there can be some, perhaps considerable, psychological antipathy on the part of users (no matter how much they complain about the superseded system); and

(c) radical changes are likely in any case, in the next 5 to 10 years, with the widening use of technology in current record-keeping.

25. However, in a seminar, held towards the end of the consultant's mission, for registry superintendents or their equivalents from almost all ministries, considerable interest was shown in the Y/S system potentiality. This is therefore discussed again in Chapter 8.
26. Even if some ministries eventually change to Y/S systems some will not; in which case the consultant proposes, in the following paragraphs, certain adjustments to the existing systems of the kind which he considers would be beneficial in avoiding possible dangers in the use of M/N and A/N systems and in securing more systematic elimination of non-current or semi-current files from current registries. These adjustments were made successfully by certain very large and technical departments in Australia, which, after the review discussed in Appendix O, decided they were too deeply committed to the M/N system to make any radical change in the numbering technique.

27. Before identifying some problems associated with the M/N and A/N systems, the consultant wishes to point to certain good features of the Kenyan application of them:

(a) Side fastening, as now practised, universally it seems, in Kenya, is very much preferable to the Colonial and indeed current British and Australian practice of filing (using so-called 'treasury tags' or their equivalent) in the upper left hand corner. However it is essential if side fastening is to be used that there be left a margin of at least one inch on the left hand side of all forms, letters, memoranda etc. For an example of the need one only has to examine the volumes of transfer lists of deposits in the National Archives. (See also Appendix D).

(b) The team did not observe any case in which folio-numbering within files did not take place (a very important practice to maintain, particularly with files as large as many Kenyan Government files now seem to grow).

(c) Although the original planners of M/N and A/N systems would be rather horrified at the practice, the consultant considers the registration of all inwards correspondence a good and worth-while practice, particularly where the social conditions favour labour-intensive methods. However, the need for the practice reveals inherent weakness in the reference efficiency of the main systems insofar as one of the principal objectives of those who devised the M/N and A/N systems was to do away with the practice of 'logging' each individual document received.

28. To turn to potential dangers in the use of M/N and A/N systems, the consultant noticed, not infrequently, a preponderance of large unwieldy files (two inches thick and even more) and, in numerous instances, files which, with the same file number, run into numerous volumes, sometimes more than 20 or even 30, covering many years. In some very complicated matters it is unavoidable to have large files or multiple volumes; but it should be the exception not the rule. The root of what is by no means a solely Kenyan problem is that the M/N and A/N systems can affect, almost subconsciously, the classifiers to the point at which they no longer consider that the file should be a sequential record of a particular administrative event or development to which an exclusive 'running file number' is issued. Instead, the file becomes in their minds a further subdivision of the subject-matter into which anything of relevant subject significance but no necessary administrative connection can be placed. Most M/N and A/N system practitioners aim consciously (and in the mistaken, but often official, view justifiably) to avoid opening new files; that is, they assume it is valuable to keep
existing files 'alive' indefinitely. Instead, the consultant strongly urges, they should be aiming for very precise file titles which will ensure that the file will come to a 'close' in foreseeable time, be readily identifiable in lists of file titles and, furthermore, readily removable after due time to secondary storage.

29. In search of a concrete example, the consultant personally undertook a reference search in the Archives for a copy of the Trade Agreement between members of the East African Community entered into about 1968. The relevant transfer lists of files in the Archives were searched (unsuccessfully as far as the consultant was concerned). Files like "Treaties and Agreements General" made their appearance but did not produce the sought-after document, whereas in this subject area a file specially titled for example 'negotiation (or amendment) of a (the) Trade agreement between members of the East African Community 1968-69' would have ensured the correct retrieval (if present).

30. As a further concrete example to show the way subject classified files can both change character and grow too large, the consultant made a detailed analysis of a 'colonial period' Ministry of Commerce and Industry main file and some of the filing practices associated with it. The composite number and the subject components of the main file (as shown on the front cover on which already is printed boldly "Ministry of Commerce and Industry") are:

\[
\begin{align*}
T & C &= \text{Trade and Commerce} \\
16 &= \text{General} \\
11 &= \text{Trading by Africans} \\
8 &= \text{American Financial Assistance}.
\end{align*}
\]

There are four volumes running from 1955 to about 1960.

31. The files are carefully (mostly) folio (and/or minute) numbered but, unlike current practice which shows the folio number in brackets (as observed by the survey team) the folio number was simply added as an extra number in the file reference on outgoing letters after a further stroke e.g. the 17th folio number was marked T&C 16/11/8/17. This would surely have caused considerable potential confusion because, as will be seen shortly, sub-files are opened periodically. Incidentally, volume numbers were not included in the file reference but folio numbers recommenced at 1 in each volume - so there could, for example, be four documents all marked T&C 16/11/8/17.

32. Of the file 'number' components T&C is useful to distinguish from other file series within the Ministry. The sub-division 16 = GENERAL is wasted - indeed it only covers two subordinate subject areas "Trading by Africans" and "Fairs and Exhibitions". In short, the file number and title could simply have read T&C 11/8 "Trading by Africans - American Financial Assistance" followed by a running specific file number e.g. T&C 11/8/1 - "Preliminary negotiations". In fact as time passed and one or more new aspects occurred, the system all too readily added further sub-numbers e.g.

\[
\begin{align*}
T&C\ 16/11/8/2 &= \text{Administrative arrangements in connection with visits to Districts (the same reference number as four folios on the main file).}
\end{align*}
\]
Still later we find e.g. T&C 16/11/8/4/10 .... Coast Province/Loans to Fishermen and even a sub-sub-file T&C 16/11/8/4/10 (TY) with the same title as T&C 16/11/8/4/10 but containing a draft manual of instruction for loans to African and Arab fishermen. In other words the final 'file' is quite significantly different in subject from the early files but the important broader subject numbers remained unchanged.

33. The consultant at this juncture wishes to emphasize that the example (chosen deliberately from a pre-independence series) is used only to illustrate by concrete evidence how easily the multi-numerical system can get out of hand unless the making of new files is fully controlled and titles are kept both specific and accurate.

34. In fact, in this particular case the administrative sequence of developments is reasonably connective, and the changes in subject significance were brought about because of legitimate difficulties in developing the scheme. Had each change been marked by a new file with varied title there would have been no confusion. Even in the first 100 folios of the first volume there were distinct phases which warranted opening three separate precisely designated and titled files and closing of the earlier two. All things considered the different titles and preferred running file number sequence could well have been as follows:

T&C 11/8 - 'Proposed American Financial Aid under Mutual Act for African Traders'
T&C 11/9 - 'Implementation of FAO aid scheme for African Traders'
T&C 11/10 - 'Implementation of FAO aid scheme for African Traders - Administrative Arrangements in connection with'
T&C 11/11 - 'Investigations into required amendments to FAO aid scheme for African Traders'
T&C 11/12 - 'Coast province - Aid to Fishermen'
T&C 11/13 - 'Extension of Aid to Arab Fishermen'.

35. The consultant wishes to make clear at this point that the main file T&C 11/8 was quite an acceptably sequential file. Even the four volumes of one file would have been excusable had the file title been changed. However, the main point is that there is usually no need to have a four-volume file covering several years. Cross references on file covers are provided for and could have been used. Indeed, at the seminar mentioned in paragraph 25 above a very good suggestion was made by the Ministry of Agriculture representative that modern files should show the number and title of all earlier files on closely related subject matter.

36. As explained earlier, the examples used were chosen to avoid describing actual files in registries surveyed (the Team had scarcely the time or the discourtesy to analyse current files within public offices); but there was, in almost every subject-registry visited, evidence, from an examination of the file index, of one or other of the tendencies pointed out in the analysis covered by the foregoing paragraphs.
37. Apart from the problems discussed above, the main deficiency of the M/N and A/N systems is that they do not normally permit relatively automatic and orderly retirement of semi- or non-current files on the highly desirable annual basis. When files or volumes are closed they can be taken to secondary storage but as a result there are in most cases ever-increasing gaps at various points in the file index, particularly in the most important 'current' stage; and date coverage of each 'deposit' in the secondary reference storage or archives is very inconsistent. Furthermore, if frequent retirements are made, the original numerical order becomes very confused. It should be remembered in this connection that the Public Archives Act requires that public records more than 30 years old are to be made available (in normal course) to the public. How can this be done consistently with files often covering long periods and in different stages of retirement?

38. The consultant recommends that whatever system of numbering is used, registry superintendents or their equivalent endeavour to ensure that the construction and titling of files be such as to identify clearly the administrative activity concerned and to facilitate the retirement of each file from the current registry at the optimum point in time.

Recommendation for the Improvement of Registry Systems

39. In this paragraph the consultant suggests some possible remedies for problems mentioned above in cases where the M/N system is to continue. He recommends the following rules:

(a) Except to designate a separate series (i.e., numbering system) such as T&C for Trade and Commerce as compared with KSB for Kenya Supply Board) there should be no use of alphabetical symbols. The reasons briefly are, first, that they are too confusing in that there is no natural sequence and secondly, the file references are very often confusing and/or cumbersome.

(b) Every attempt should be made to use not more than three basic numbers - i.e., first for primary subject, second for secondary or sub-division of subject and the third a running file number with the file being of the type described in Appendix 0, paragraph 9(a). The only exception to this type of file would be 'dossier' type files like personnel files. The reason for limiting the classifying numbers will be apparent in the next recommendation.

(c) After the third basic or running number the year of opening the file should be added - say "79". After the end of that year, if the file has not closed naturally the "79" volume should be closed and an "80" volume be opened. If a file grows bigger than say 150 folios within the year separate volumes identified by small letters can be opened. The result would be a file reference that would be of the format T&C 7/3/253/79-a, followed by folio number in brackets. If this is done, files (or volumes) can be retired in annual blocks and will be easily located in secondary storage. If and when files are closed naturally and are retired the numbers disappear from the numerical sequence; but the resulting gaps are the inevitable penalty for using M/N systems. Of course,
whatever happens, the vacant numbers must never be re-allotted. If continuing volumes are used, the folio numbering should carry on without recommencing at the beginning of each volume.

(d) Files and/or volumes should show, on the cover, opening and closing date.

(e) However attractive it may seem, no permanent attempt should be made to keep primary subjects in alphabetical order. It is better to merely allocate the next number and keep a small index to primary headings. This is particularly the case in that a considerably greater number of more specific primary headings (than at present) will be needed to keep within the 'three-number' notation referred to in (b) above.

(f) The Registry Superintendent must personally and carefully consider and approve all new primary or secondary subjects (and it is the consultant's view that a very specific subject and/or name index would usefully supplement the main classification scheme).

(g) Even if improvements in reference speed use are noticed soon, the practice of registering inwards correspondence should be continued until such time as the register is not found to be useful as a means of guide reference.

Recommendations on Physical Aspects of Registry Filing

40. It was noted earlier that files in Ministries tended to be too large. In turn the file covers are in many cases much wider than they need be. The consultant, too, is aware that, using conventional file covers, his recommendation that more smaller files should be created sounds an expensive prospect; but a solution to that is suggested below. Another main problem is that several registries are still using four-drawer filing cabinets which are very wasteful of space. Yet another costly practice is that noted in some offices which file 'old' or 'archival' files in quite elaborate file boxes costing up to K. Sh. 35.00 each. The consultant's home office has made calculations and adopted 'archive' cartons and storage techniques which result in very considerable savings. Some of the findings about equipment etc. are contained in a handbook "Storage and Equipment Information Sheets" which the consultant has left with the National Archives among other handbooks and documents for use (including duplication if desired) by the Kenyan Government. In brief it recommends, among other things, lateral filing in the type of racking unit seen in several Kenyan Ministries and illustrated at Appendix H as the most efficient on the grounds that, with adequate access space, at least three times as many SF of current records can be stored in lateral racking units as can be accommodated in four-drawer filing cabinets. The ratio would be even better if mobile shelving could be used but the consultant believes that mobile shelving would be far too expensive in Nairobi, even if obtainable.

41. In the light of all available information the consultant recommends:

(a) That lateral filing units of steel racking be used as per Appendix H and filing cabinets in good order be disposed of gradually (instead of purchasing new ones - for justifiable uses such as personal offices, quick reference
information sections, etc.) One concrete case of possible savings in conjunction with disposal was mentioned in Chapter 4.

(b) That the present fold-around type file cover be abandoned and that instead there be:

(i) a fairly strong backing sheet;

(ii) a plain front cover (of foolscap size) along lines of Appendix C, adapted as appropriate; and

(iii) immediately under the front cover a minute sheet as per Appendix D.

The combination, if implemented as described, should cost considerably less than the file covers now used.

(c) When files are placed in 'old' or, 'secondary storage' or 'archives storage' or in a record centre as discussed in Chapter 7 storage, existing files be stored in a carton (with minor dimension changes) similar to the example brought by the consultant. (The consultant has received from the Australian Archives and left with the Kenyan Archives specifications for various size and shape cartons). The standard carton should cost no more than two or three Kenya shillings if a board similar in quality to the present Kenya National Archives Box is used).

(d) Once files of the format recommended in (b) above become prevalent it will be possible to reduce the height of the 'archival' carton by up to two inches which in turn will ensure savings in 'secondary' or record centre racking.

CHAPTER 6 - SURVEY AND DISPOSAL

42. It became very apparent as the preliminary survey progressed that, in most if not all ministries, the destruction of even routine and time-expired records had ceased, if indeed it had already started in independent Kenya. It so happened that most of the accumulated 'old' records noted by the team were long-life or permanent in character. But there was evidence (particularly in a bay in a basement at Jogoo House not under Archives control) that routine records e.g. even those accounting records covered by the Financial Order (1968) No. F.27 and related Financial Instructions - were not being destroyed. In discussion with officials in the various ministries it appeared that such destruction was, according to Financial Order No. F.26, only permissible with the authority of the Chief Archivist. Further, a circular in 1973 had emphasized that under the Public Archives Act no records could be destroyed without the permission of the Chief Archivist. It seems surprising to the consultant that the circular in question should have not, as in the majority at least of overseas governments, excepted accounting records, as specified in Financial Orders, from the ban on destruction (provided of course that all audit requirements have been observed).

43. The general effect of the 1973 circular seems to have dampened enthusiasm for all plans to negotiate destruction on specified classes with the Chief Archivist and by 1975 literally all destruction, investigations or negotiations appear to have ceased.
44. There is no question that even on top of emergency 'record centre' action as recommended in Chapter 4 of this document the recurrence of emergency conditions is most likely unless a systematic task force campaign is launched with the partial but major objective of developing in each public office a comprehensive disposal schedule, agreed to by both the Chief Archivist and the Permanent Secretary. The Task Force must have the strong backing of the topmost public service authorities. Even before disposal schedules are completed, large classes of destroyable records can be the subject of special appraisal and, if appropriate, special authorization for destruction by the Chief Archivist. In such a campaign, Ministries should have priority, followed by parastatals and local government authorities. The present holdings of the National Archives should be included in the campaign because it is the consultant's impression that 25 per cent upwards of the present holdings could be destroyed.

45. Under the circumstances, the consultant makes the following recommendations:

(1) That the Chief Archivist issue a circular to supersede the 1973 circular emphasizing that it has top-level public service support and specifically:

(a) authorizing destruction of all accounting records covered by Financial Order F.27 and related Financial Instructions; and

(b) informing public offices that they will be welcome to submit proposals to destroy records to him but must give adequate notice and not segregate them and store them in awkward places like corridors etc. before receiving proper authorization to destroy.

(2) That enquiries be made as to the existence of appropriate firms that manufacture cartons etc. both to tender for archive cartons and to solve physical destruction problems by collecting and pulping destroyable record material, probably at a profit to the Kenyan Government. One pulping firm is Kenya Paper Mills which collects bagged paper and pays 15 cents per kilo for papers that contain metal clips etc.

(3) That as soon as practical, a record disposal campaign be launched along lines indicated in paragraph 44 above. The question of manning the campaign will be discussed in Chapter 8 of this report. Samples of a variety of disposal schedules from Australia have been left in the Kenyan National Archives by the consultant.

(4) That the Records Disposal Act (Cap. 14) be amended where necessary and extended to cover not only judicial or legal records but all appropriate classes of routine 'house-keeping' records which are common to all Ministries, parastatal bodies and Municipal Councils. One minor but very practical amendment to the existing Act should be to permit 'pulping' as described in (2) above as a substitute for supervised 'burning'. The latter is a very inefficient method of destruction for large quantities of records.
46. The consultant has left behind several 'general' disposal schedule examples. If the Attorney-General agrees, the Records Disposal Act could be kept brief and merely authorize the Director of the Archives Service to issue 'general' disposal schedules covering routine classes of records common to all or most offices.

47. In the light of the apparent trepidation about destruction of records in Kenya, the consultant makes the final comment that it is professionally defensible, provided due assessment has been made, to risk destroying marginally valuable records or records whose latent value cannot be foreseen rather than to lose sight of the better quality archives and/or clog up the current storage areas in public offices and/or record centres. Indeed it seems appropriate to repeat a quotation by de Bonifacio that was printed over the office door of a very intelligent disposition specialist in the U.S. National Archives, when the consultant visited there in 1958, "To dispose perfectly is a quality of God alone."

48. The consultant with his colleagues noticed the remarkable preponderance of old 'personnel' files among closed files. There is unquestionably much duplicated or supplementary information on departmental personnel files, Civil Service Commission files and/or Pension files. The consultant recommends a special joint study of the whole system of personnel record-keeping, with a view to reducing duplication and permitting the destruction of files (based perhaps on the regular certification by the Civil Service Commission for purpose of payment of death gratuity) after a fixed period. Such a survey would in the consultant's experience pay major dividends. The survey should be made jointly by the Civil Service Commission, the Directorate of Personnel Management, the Kenya National Archives and the Pensions Branch of the Ministry of Finance and Planning.

49. Finally, as will be explained more fully in the next chapter, the disposal aspect of records management must be soundly based on a Task Force programme of surveying records in all public offices. A suggested survey sheet (to be amended if necessary for printing after practical experience) is provided at Appendix E and instructions for its use are at Appendix F.

CHAPTER 7 - RECORD CENTRE OPERATIONS

50. The concept of Record Centre operations in the context of efficient use of space generally and immediate relief of departmental space problems in particular has already been dealt with in Chapter 5. This chapter is intended to give a brief coverage of the operational side.

51. In many respects the present Kenya National Archives repository is operated like a more or less conventional record centre. From the consultant's observations it, like newly established repositories all over the 'new world', had to accept records without time to sort them properly, and a good deal of slogging work remains ahead of the National Archives in getting the records sorted into correct original order. At present the 'control unit' is the 'deposit' rather than the archival 'series' and in the consultant's own personal experience the sooner the series becomes the basic control unit (whatever notational numbering scheme is thereafter used) the better, because most research workers are obliged, whether they want to or not, to examine records in their original order.
52. Under the circumstances the consultant most earnestly recommends that every effort is made to establish basic series control in any 'new' record centre from the outset. In any bulk transfer the specific and separate series should be identified as soon as and as accurately as possible. In any case of doubt, an archivist should be consulted. As each individual series is identified it can be given an individual accession number. A registration form (see Appendix G) is filled in on the first occasion a new series is received. Temporary series need only minimal description but series with potential archives value should be fully described with the collaboration of an archivist. Subsequent deposits (or accessions) of an already registered series are merely noted in the accession register and on the series registration form.

53. Because the deposits (accessions) will for some time at least be coming from N/N or A/N systems it is suggested that rather than use 'transfer' or box 'lists', a copy of the relevant file index be obtained from the department and, with each deposit, the box number plus other location information be entered against the file (or volume) number. In due course the various deposits can be re-boxed in proper sequential order. Such means of control will not only give a better indication as to when a series is complete but will also allow archives staff to search for information in a logical fashion instead of randomly through transfer lists of files in relatively haphazard order.

54. In Chapter 4 the need for a rapid and accurate reference (issue and return) service was emphasized. This should be as free of 'red tape' as possible. It is sufficient for the designated officer of a depositing office to ring the centre and for the 'reference' service coordinator to list the items required on a 'Receipt for Items Issued' form (in triplicate). He then prepares a 'File Out' card which a repository assistant uses to find the item and substitutes (the 'File Out' Card) for the item in the carton. All the items with two copies of the 'Receipt for Items Issued' are picked up by, or delivered to, the requisitioning officer who signs one copy and returns it. When the office has finished with the items, a 'Receipt for Items Returned' is filled in and returned with the files. The repository attendant returns the file to its place, delivers the 'File Out' card to the reference coordinator who 'matches' the file with both Issue and Return Receipt and cancels the transaction. Every two or three months reminders are sent in respect of outstanding items. If officers wish to return items to current status they inform the reference coordinator who marks the finding aids etc.

55. Finally, the consultant wishes to make a suggestion about the shelving of any new record centre accommodation (assuming that it will be rented or at any rate temporary accommodation). Unfortunately time did not permit enquiries into availability of types of shelving and relative costs; but, as remarked earlier, it seems certain that mobile steel shelving (of the compactus type) would be too costly. Of course steel shelving is preferable if finance permits.

56. If steel shelving is used and the presumed capacity of three SF to one square foot is to be achieved, it should probably be built higher than average even if steps are required to reach the top shelves. This is not as inefficient as it sounds because the top shelves can be used for very infrequently consulted material.
The cheapest steel shelving is probably the kind used in the present Archives repository. If it is used it should be erected more efficiently than in the Archives repository. The particular type of shelving has angle-type uprights each of which encroaches two inches along the shelf width. The conformation in the Archives repository is such as to fit the uprights in such a way that each second shelf is encroached on at each end, resulting in a sequence along any given row of one 36 inch shelf, one 32 inch shelf, one 36 inch shelf and so on. The consequence is that every second shelf can house only two boxes and approximately 12 inches of shelving in every 72 inches is lost. If, on the other hand, the uprights were erected so as to leave 34 clear inches for each shelf and the width of cartons modified slightly if necessary, only 4 inches would be lost for every 72 inches.

57. If steel is too expensive and wooden shelving is used, it is suggested that the shelving be built as per Appendix I. This configuration using small sections rather than inseparable long rows would permit variation in layout or location and need not be built to uncomfortable heights because two rows of boxes can be shelved one behind the other on each 'shelf'. At the same time, extra large documents such as maps could be stored in the six-foot 'double' shelf.

CHAPTER 8 - STAFFING AND TRAINING

58. Considering the important part that good records management plays in efficient administration, the consultant believes that the Kenya Records Management staff at all levels in the field have neither equitable status nor career prospects. Records Management, because each record creating body is unique, is not an area where competence can be achieved at the outset by centrally conducted formal courses of training. Though of value when combined with appropriate experience, tertiary academic qualifications are not as important as in other fields and indeed are virtually useless without substantial experience in responsible records-management activities. Often the ideal 'field' records management officer is someone with wide experience and the capacity for imagination and constructive planning and implementation as evidenced by personal performance, conference participation, etc. Coupled with such experience, a relatively short formal course in archives administration with special emphasis on records management theory and practice (and, advisedly, the basics of information management) can be very beneficial.

59. In the consultant's view a staffing review in the departmental records management area is overdue and such a review should produce a relatively flexible scheme of service. (See Appendix N).

60. Based on an admittedly short-term study, the consultant has come to the conclusion that the prospects of a records management programme being established successfully and on a continuing basis are slight unless a special 'task force' is constituted in the near future for a preliminary period of at least two years (to be reviewed thereafter). Such a task force, though directed by the National Archives, will need to include chosen records management personnel from Ministries. The team should visit all Ministries (including all subordinate offices) in turn. Parastatal and local government authorities should follow. The survey team should
visit every room and prepare a constructive disposal schedule for the whole Ministry or basic unit (department, etc.) - constructive in so far as unnecessary duplicate 'shadow' or 'personal' files etc. are eliminated. The senior member in each of the teams should be a 'systems' media officer who will analyse and advise on improved registry management as well as prepare the necessary continuing disposal programme for the registry proper. Technical advice and literature has been supplied by the consultant with training to the extent time permitted on various 'disposal programming' techniques for registries. The consultant also trained Kenya National Archives team members in general survey and disposal programming techniques.

61. The consultant envisages a 'scheme of service' along the lines charted in Appendix J, as part of the Kenya National Archives. It will be noted that the Records Management Task force and the Records Management Division of the National Archives, are jointly structured as a potentially permanent organizational feature offering a scheme of service for records management staff. (After an initial period, the top position could be filled by a widely experienced records manager who shows the necessary conceptual and imaginative mental abilities).

62. The consultant recommends that after the first priority (See Chapter 4) has been established and the centre is working, the Chief Records Management officer, together with the Senior Records Management Officers (Team Leaders) should, subject to necessary negotiations, visit for approximately four months each, the Records Management and Archives Offices of New South Wales, Australia. The consultant would thus be available for advice and interpretation on the basis of Kenyan requirements. Other training visits could follow but the consultant wishes to stress that, at least for some time to come, overseas formal courses in records management are, to greater or lesser degree, superficial for inexperienced staff and should be rejected in favour of attachments to experienced institutions. Such institutions should be only those which are concerned with governments that, like Kenya, use the registry system of keeping records.

63. During the first six weeks or so of his consultancy, the consultant had frequent informal training sessions with the two National Archives staff assigned to Records Management activities. These same two officers became part of the survey team, with the consultant, that examined the holdings of selected Ministries.

64. After the survey and investigations described in Chapter 6, the consultant, with the support of the Directorate of Personnel Management, the Kenya National Archives and the Kenya Institute of Administration, led a three-day Seminar for Registry Superintendents and Kenya National Archives Staff. A copy of the programme is shown in Appendix L and reports of Syndicates on various main topics can be found in Appendices J to M. The seminar and a special follow-up workshop for selected 'leaders' in the departmental field were most rewarding and encouraging. The consultant found a level of insight and understanding among the participants as high if not higher than any with which he has been associated in a long career; the fact that he recommends special training in Australia for key officers does not contradict this statement. It follows logically from what is said above (and in the syndicate report at Appendix M) that those who can see merit in the concept of new approaches need to examine the product in action before they 'buy' it.
CHAPTER 9 - ADMINISTRATIVE SUPPORT

65. It is regrettable, but consistent with earlier experiences of the consultant, that most registry officers could only report very poor understanding from 'user' officers or support from senior administrative officers. The consultant is aware that the only successful records management programmes in the world have been those which received top-level acceptance of the programme by the 'administrative' policy makers (in Kenya, of the Directorate of Personnel Management) and pressure thereafter on senior administrative staff in the ministries concerned to treat the registry not as a team of paper-pushers but as a crucial part of the communications and information system of the department. The consultant has never seen an efficient ministry or department without an efficient, and thus respected, registry team. In other words, an organization gets the registry service it deserves.
An Act of Parliament to establish the Kenyan National Archives Records and Information Service, to provide for the efficient administration of both public and non-public records and archives together with all other cultural and other historical evidences that may be acquired by the Nation, and to provide a central documentation and information retrieval service for use in national planning, and for matters incidental and connected therewith.

GENERAL

1. This Act may be cited as the Kenya National ....... Act.
2. In this Act, except where the context otherwise requires - "Director" means the person appointed to that office under Section 3 of this Act;
"Kenya National Archives" means the place or places wherein are housed or preserved such public or non-public records, and other documents or evidences as may be acquired in the execution of this Act;
"documents" means all documentary material, regardless of physical form or characteristics;
"records" are documents made or received in the course of normal business and subsequently preserved in case of need for further reference by individual or organizations of all kinds;
"public records" are records made or received in the course of normal business and subsequently preserved in case of need for reference by public offices;
"public offices" includes all government and parastatal offices as prescribed in Schedule A to this Act

Provided that the Minister may, by order in the Gazette, amend the said schedule;
"Minister" means the Minister of such Ministry in which the National Archives Records & Information Service may be attached;
"Service" means the National Archives Records & Information Service as established under Section 3 of this Act.
"public archives" means those public records deposited in, or designated for deposit in the Kenya National Archives;
"non-public archives" means those non-public records deposited in or designated for deposit in the Kenya National Archives.

ESTABLISHMENT OF "Kenya Archives Records and Information Service"

3(1) There shall be established, constituted and maintained a public department to be known as the Kenyan Archives, Records and Information Service subsequently in this Act termed 'the Service' for which there shall be appointed a Director, and such other staff as may be necessary.

3(2) The Director shall be responsible for and have charge of the Service and of all the contents of the Kenya National Archives and in respect of the contents shall take all practicable steps for their proper housing, control, preservation and use, including the adequate protection of Government copyright for public archives and appropriate safeguarding of such non-public copyright as may continue to exist in respect of original copyright owners.

POWER AND DUTIES OF DIRECTOR

4(1) Subject to this Act and any subsidiary legislation made thereunder and to any special or general directions which may be given by the Minister the Director and any officer authorized by him, shall have power to do all such things as may be necessary or expedient for the exercise of his duties and performance of his functions under this Act or any subsidiary legislation made thereunder, and without prejudice to the generality of the foregoing he -

(a) may survey and examine any public records and advise on the care, preservation, custody and control thereof and, in the event that any such records require urgent restoration, may withdraw them for emergency treatment before returning them, if appropriate, to the public office concerned;
may require, subject to Section 6(5) of this Act, the transfer to his custody of any non-current public records which he considers should be housed in the Kenya National Archives as public archives;

may authorize subject to Section 8 of this Act, the destruction of any non-current public records which he considers do not warrant deposit as public archives;

shall develop a programme of planned disposal of current and future record series or classes of public records, on the basis of schedules agreed between him and the Chief officer of the public offices concerned;

may, on invitation of any non-public organization offer services similar to those prescribed for public offices in paragraphs (a) - (d);

shall compile a national register of non-public records or any non-documentary historical or cultural evidences that are, or would be, with the passage of time, appropriate for deposit in the Kenyan National Archives and prior to such deposit negotiate, with the custodians and/or owners of copyright, a deposit agreement, which shall be legally recognized and which shall prescribe access conditions, terms or waivers of copyright etc;

shall establish, in addition to such proper special purpose and permanent accommodation as may be necessary for various contents of the Kenya National Archives in Nairobi, both central and regional record centres and depots capable of housing safely, but economically, records which while not of archival quality, must be preserved for official purposes for long periods before destruction; of housing potential archives which must be preserved for reference back to public offices; and of housing archives which must be preserved locally because their significance is lessened by geographical separation from their place of origin;

may establish a mission, with offices in appropriate countries and in collaboration with Kenyan diplomatic posts abroad, with the objects of -

(1) recovering public or non-public records (or if not practicable photocopies) removed from Kenya before during or after independence;

(ii) negotiating for copies of public or non-public records compiled in the United Kingdom or elsewhere which bear upon Kenyan affairs in the colonial and pre-colonial period; and

(iii) locating documents, films and other evidences which whether produced by or for Kenyan or non-Kenyan organizations or persons, relate to independent Kenya and negotiating for acquiring or copying same.
(new (h) - (k) same as present (c) - (f); present (h) substituted by new (f); present (i) substituted by new (g); new (1) - (m) same as present (j) - (k))

(n) shall determine eligibility of Kenyan citizens and foreign searchers for readers tickets to all archives open to the public in accordance with section 7 and recommend for the approval of the appropriate Minister(s) terms and conditions under which facilities may be granted to searchers to use archives, not yet open to the public, in the interests of the cultural, social or economic welfare of Kenya.

RESTRICTIONS OF POWERS OF DIRECTOR

5(1) As in present Act.
5(2) "  "  "  "

RESPONSIBILITIES OF PUBLIC OFFICES

6(1) Heads of Public Offices shall be responsible for ensuring that all necessary evidence of decisions, including the grounds on which they are made, and of official business of all kinds are adequately recorded and maintained for as long as necessary. Particular care shall be exercised at such times as automated and/or micrographic record-keeping systems are being introduced, at which times the Director shall be consulted to ensure preservation of valuable information which might be lost in updating activities.

6(2) It shall be an offence punishable in terms of Section 9(7) of this Act to destroy or authorize the destruction of public records except under the provisions of this Act.

6(3) In the event that the Head of a Public Office considers that any records for which he is responsible in accordance with subsection 3(1) above, may be less than efficiently organized or cared for he shall call upon the Director to offer advisory services.

6(4) In the event that the Head of a Public Office considers that records, whose destruction has not already been authorized by regulations under relevant Acts of Parliament or in a disposal schedule approved in accordance with Section 4(a) of this Act, are no longer necessary for current administration within his office, he shall notify the Director who will arrange for their appraisal and proper disposal.

6(5) If records in any Public Office reach the age of 25 years after the year in which the last action was taken, the Head of that office shall inform the Director who shall provide the necessary custodial service provided that if the Head of Office considers that the records should remain in the office, he may arrange to retain the records for such further period as his Minister and the Minister responsible for the Service shall agree.
Provided that nothing in this section shall prevent the transfer of records to the Service before 25 years have elapsed.

6(6) As provided in Section 5(g) of this Act, the Service will include provision of sufficient record centre accommodation for the proper housing of records which, although they must be kept for more than a few years for administrative, legal, planning and related purposes, are not frequently or urgently enough referred to as to warrant their being stored in current office accommodation. No public office may set up its own Record Centre without the agreement of the Director.

6(7) Every public office shall supply to the Director one copy, whether in hard-copy or micro-form, of any report or similar document published or unpublished which contains substantive descriptive or tabulated information of any kind that may be used for the study or planning of Kenyan development in any aspect of the economy or cultural achievement; provided that any public office may prescribe the period for which the document shall remain restricted from consultation by other public offices or international agencies on the one hand and members of the public on the other.

Documents so supplied shall be annotated appropriately as to source, author, date, etc. If the public office passes a copy or copies of such reports to its own 'Information Centre' all documents culled from that Centre must be offered in the first instance to the Service.

6(8) Every public office shall supply to the Director two copies of any published or generally circulated document, report produced by it but excluding Acts and other documents produced by the Government Printer.

6(9) Every public office shall supply to the Director one print or acceptable copy of any film videotape, or cinematographic medium or one disc, tape or other audio-medium of any master produced by or on its behalf.

6(10) Each public office shall supply to the Director either the master or a security print of any record kept on micrographic medium including any up-dating thereof.

6(11) The Registrar of Books and Newspapers shall deposit with the Service one copy of every newspaper and publication (book, periodical etc) delivered to the Registrar in accordance with the provisions of the Books and Newspapers Act (Ordinance 27) of 1960, revised 1962.

6(12) The Government Printer shall supply to the Service two copies of every publication produced by him.

6(13) Irrespective of provisions of other Acts, custody by the Service shall be the equivalent of the custody of the named public office in the Act concerned.
**PUBLIC ACCESS**

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</table>

**DESTRUCTION OF PUBLIC RECORDS**

8. This section should be broadly as for present Section 7 but the question of appropriate authorization for destruction should be reconsidered, particularly in the light of modern records management techniques (see new Section 4(1)(d)). With a properly developed disposal programme, there would be too many 'disposal' proposals involving some destruction to bother the Minister with. I believe the proposed Council (see new Section 15) should consider certain cases referred to it, and advise the Director but formal authorization of destruction should be simply a matter of agreement between the Director and the Head of the Public Office concerned.

**OFFICES**

9(1)-(6) As for present 8 (1-6)

It is suggested that the following 'penalties' might be more realistic:

(7) Any person, being a civil servant, who is guilty of an offence shall be dealt with under the provisions of Part IV of the Public Service the Police Force and the Judicial Commissions promulgated in accordance with the Service Commissions Act (CAP 185) Revised 1967.

(8) Any person, not being a civil servant, who is guilty of an offence shall be liable to imprisonment for a term not exceeding one year or to a fine not exceeding ten thousand shillings or to both such imprisonment and such fine.

Note present Section 9 to 12 should be renumbered 10-13.

**COPYRIGHT TO NON-PUBLIC ARCHIVES**

14. Notwithstanding Sections 3(2) and 4(1)(f) of this Act, where any work in which non-government copyright subsists, or a reproduction of such work is included in any public or non-public archives in the custody of the Service, the copyright in such work shall not be deemed to have been infringed by the making or the supplying to any person of any reproduction of the work by or under the direction of the Chief Archivist.
15 (1) The Minister may make regulations established and constituting a Council, to be known as the National Archives Records and Information Advisory Council, and continued as in present Act Section 14 (1).

15 (2) The functions of the National Archives Records and Information Advisory Council shall be to advise the Director on such matters relating to the location, preservation and use of archives and other materials in the Kenya National Archives as the Director shall refer to it and to advise the Minister on such matters of policy, legislation or common law as the Minister may refer to it.

REGULATIONS

16 (For the moment as for present 15).
APPENDIX B

PROPOSED RECORD MANAGEMENT ESTABLISHMENT
(excludes support staff - typists, messengers, cleaners)

<table>
<thead>
<tr>
<th>Job Group</th>
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<tbody>
<tr>
<td>K</td>
<td>Archivist I (inter Executive Officer I)</td>
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<tr>
<td>J</td>
<td>Executive Officer II Archivist II</td>
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<tr>
<td>H</td>
<td>Executive Officer III Archivist III</td>
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<tr>
<td>G</td>
<td>Executive Assistant</td>
</tr>
<tr>
<td>F</td>
<td>Senior Clerical Officer</td>
</tr>
<tr>
<td>E</td>
<td>Higher Clerical Officer</td>
</tr>
<tr>
<td>D</td>
<td>Clerical Officer</td>
</tr>
</tbody>
</table>

Chief Records Management Officer

Survey and Disposal Team A
- Senior Records Manager

Survey and Disposal Team B
- Senior Records Manager

Repository
- Senior Records Manager

NATIONAL
- Supervisor
  - Deputy Supervisor

REGIONALS
- Staffed as appropriate

Appraisal
- Archivist

Archivist

2 x Record Managers

2 x Record Managers

Senior Rep. Assistant (Processing)

Senior Rep. Assistant (Reference)

3 x Rep. Assistants I


3 x Rep. Assistants II

APPENDIX C

FUNCTIONAL FILE FORM 77F/123

NEW SOUTH WALES GOVERNMENT

WATER RESOURCES COMMISSION

FUNCTIONAL FILE

MEDWAY CREEK BRIDGE CONSTRUCTION NEWELL HIGHWAY TALBRAGAR SHIRE
APPENDIX D

MINUTE SHEET

<table>
<thead>
<tr>
<th>OFFICER</th>
<th>DATE</th>
<th>No.</th>
<th>ACTION RECORD</th>
<th>INITIAL ON COMPLETION</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perm. Sec.</td>
<td>10.5.78</td>
<td>1</td>
<td>For direction of action.</td>
<td>J.J.K.</td>
<td>10.5.78</td>
</tr>
<tr>
<td>Sen. Assist. Sec(P.R)</td>
<td>10.5.78</td>
<td>1</td>
<td>Please have complaints in this letter investigated.</td>
<td>M.N.</td>
<td>11.5.78</td>
</tr>
<tr>
<td>Research Officer A</td>
<td>11.5.78</td>
<td>2</td>
<td>I have listed possible questions to be answered - please investigate facts.</td>
<td>J.F.</td>
<td>15.5.78</td>
</tr>
<tr>
<td>S.A.S (P.R)</td>
<td>15.5.78</td>
<td>3</td>
<td>Hereewith my report as instructed</td>
<td>M.N.</td>
<td>19.5.78</td>
</tr>
<tr>
<td>Perm. Sec.</td>
<td>19.5.78</td>
<td>4</td>
<td>Hereewith a draft reply to Folio 1.</td>
<td>J.J.K.</td>
<td>20.5.78</td>
</tr>
<tr>
<td>O.I.C. Registry</td>
<td>20.5.78</td>
<td>5</td>
<td>Dispatch and file away.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: This is a sample from Australia. In Kenya a left hand margin would be required.
SERIES/CLASS INFORMATION SHEET

1. (a) Ministry: 
   (b) Department: 
   (c) Custodian (Branch, Section, etc.):

2. Title of Series/Class:

3. (a) Date begun: (b) Date coverage: (c) Variations:

4. Quantity at date of survey: (b) Average Annual increase:
   Shelf Feet \( x \times x = x = \) Shelf Feet \( x \times x = x = \)
   Cubic Feet \( x \times x = x = \) Cubic Feet \( x \times x = x = \)

5. Brief Description of contents:

6. (a) How stored (e.g. cartons, vertical on shelves, cabinets, etc.): 
   (b) Where stored: (c) How many cabinets etc.:

7. Why series begun and maintained:

8. Method of arrangement and control:

9. Whether and where related series:

10. Whether and where duplicate information:

11. Whether and where summarized information:

12. Substantial reports etc. in series or class?:

13. Custodian/Ministry view of value and period of value:

14. Confidential, if at all, and for how long?:
   (a) to other public offices: 
   (b) to public:

15. Archival assessment:
NOTES ON USE OF FORM KNA/RM/I - SERIES/CLASS INFORMATION SHEET

1. (a) and (b). Put stroke at (b) if central office of Ministry is being surveyed.
   (c). Include name of officer most directly in charge plus phone number.

2. This is very much a matter of individual judgement but, in general, the fewer words the better provided the title is meaningful and whenever possible, the first word or words should be the type of record document e.g. Correspondence, Reports, Index, Plans. An appropriate adjective may precede the 'type' word e.g. "Inward Correspondence". On the other hand use "Register of Inward Correspondence" rather than "Inward Correspondence Register".

3. (a). The beginning date may have to be approximate in case of subject-classified files or other 'miscellaneous' folders etc., in which case an approximate date may be shown as follows c. 1963 (c. being short for circa, Latin for 'about').

4. (a) and (b). 'Shelf Feet' wide x 15 inches deep by 12 inches high should be used if files are on shelving (usually about 36 inches) or in regular 'pigeonholes' or in filing cabinets. In writing up the abbreviation SF can be used. Cubic Feet' (abbreviation CF) should be used for map cabinets, card indexes. If records are a suitable size for filing as SF but are merely in a heap, an estimate must be made. If pigeon holes, measure in feet along whole row. If maps are heaped then estimate heaps in CF.

   Shelf feet measurements. The order will always be width of shelf x depth of shelf (or if sticking out over the edge) depth of file (if normal allow 15") x height of shelf opening.

   Examples: 36" x 15" (13 or 14 inches counts as 15") x 12" (10", 11" or 12" count as 12") = 3 SF x ? = ?
   36" x 15" x 18" (13" or 14" count as 15", 16" or 17" count as 18") = 4 1/2 SF x ? = ?

   If SF works out between even SF and 1/2 SF put up to nearest half.
   In filing cabinets establish depth of drawer and number of drawers and show as depth x number of drawers x number of cabinets.

   Cubic Feet measurements. Measure in same order as for shelf feet, that is, width x depth x height and work out to nearest upward CF.

5. Some samples are coming from Australia. However, while relatively brief, this description should give an idea of the broad subject coverage sufficient to allow a 'lay man' in search of information to decide whether it was worth searching within the series. Classes will normally only be described when several small routine series (usually of accounting records) only warrant very general treatment. However when this is done, an attempt should be made to make each class consist of small series of the same disposal period. In the last resort, if a genuine miscellany is found and no progress can be made in sorting out, within say one hour, this too may be entered as a 'class'.
6. (a) Give details of size, composition, of containers if any, e.g., cartons (width x depth x height), map cabinets (depth and number of all drawers as well as whole cabinet), index cards depth x size of card drawer (5" x 3", 6" x 4", 8" x 5") as well as whole bank of index drawers. If records are not in containers but in heaps or piles, use space to describe condition and extent to which there appears to be a potentially discernible order. Even if shelved but in poor condition give description of the condition.

(b) Describe the promises, noting in particular whether non-current series or non-current portions of continuing series are occupying valuable office space.

7. This is fairly simple in many cases, but when an officer is asked why keep the particular records it quite often occurs that the records are not really needed except for personal reasons (including over-caution) or even more significantly because the officer does not trust, or cannot get in time, registry reference service. Sometimes two separate officers simply do not know that duplication exists. If the series is, say, the Central Registry series of a Ministry it is sufficient to say 'normal'.

8. This information is mostly for the time, if ever, that the series or successive portions thereof are deposited in the records centre or Archives. However it is useful information for a review or a follow-up of records-keeping systems and may even help to suggest ways of adequately sampling a series to be destroyed.

9. If the series is a 'file series' the entries here are to be the 'controlling' register and/or index series. If the series is a 'register' the entries are to the relevant file series and to indexes, if any, and so on.

10. This entry is, of course, linked partly to 7. However in this case we are looking for known duplications which are quite valid - again frequently accounting records, but need not all be kept for the same length of time. Sometimes the known duplicate may be in another department or at higher or lower echelon level; or even in another ministry. In such latter case a note is made, but its details not followed-up until an archival assessment (see 14) is made.

11. It is important to know whether papers in a series which provide 'raw information' (e.g., statistical returns), have been summarized or tabulated and, if so, full details of what substantive information can be found from the summary record(s) or tabulations. The surveyor should try to get a sample of the summary or tabulation as well as of the raw information document and attach to this sheet.

12. This type of entry is not frequently, if at all, found in other countries' survey sheets. But it is included here because it may well assist the National Archives in discovering past unpublished 'documentation' in the sense meant in the National Archives document "Function of the Division of Documentation and Information Services".

13. This entry is linked with entry 7, but introduces the question of how long it need further be kept whether in department or record centre or both (according to date). If possible the opinions of both the custodian and the Section or Branch Head should be obtained.
It should be emphasized to the departmental officers here that, particularly in the Record Centre stage, the files are treated as still belonging and freely available to the depositing office.

14. No comment necessary at present.

15. Archives assessment should not be filled in by surveyor. The information in entries 2-14 will be reviewed by a small team in the National Archives, after an evaluation study if necessary, by an archivist and/or documentalist. If immediate destruction is agreed to, the due processes will then begin. Otherwise the relevant detail will be included in a draft disposal schedule.
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<table>
<thead>
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<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Transferring  (a) Ministry:</td>
<td>(b) Department:</td>
<td>(c) Custodian:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Title of Series:</td>
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<td></td>
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</tr>
<tr>
<td>3.</td>
<td>Date range:</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>4.</td>
<td>Quantity:</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>5.</td>
<td>Nature of contents:</td>
<td></td>
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</tr>
<tr>
<td>6.</td>
<td>History of provenance:</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>7.</td>
<td>Finding Aids:</td>
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<tr>
<td>8.</td>
<td>Deposit details:</td>
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<td></td>
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</tbody>
</table>
APPENDIX H
LATERAL FILING UNIT
APPENDIX I

SECTION OF REPOSITORY LAYOUT
APPENDIX J
SYNDICATE ON SPACE AND STORAGE

1. **Availability of Space**

   Space must be adequate to accommodate the required staff plus the equipment. This is one problem facing most of the Registries in various Ministries. People doing one type of work should be housed in one office or floor.

2. The Records Disposal Act of 1962 (Rev. 1972) should be extended to cover all Ministries.

**Storage**

   In storage we should use equipment which is economical and which is also able to contain as many files as possible. It is also advisable that boxes for keeping files should be used as it will be easier to trace a file with this method. All files including the closed volumes awaiting the disposal to Archives should be included.

**Planning**

   With the availability of space and staff, the security of the documents must be highly considered. No unauthorized person should come and pick up a file without permission. Counters should be placed a bit further from the entrance to stop members of the public from walking freely into the office. Proper environmental conditions are highly important for the efficient running of the office.

**Recommendations**

1. The Government should try to provide enough space to enable the Registries to store their documents easily.

2. It is also recommended that Registries should be locked after office hours for security reasons.

3. Security of documents in case of fire or water should be observed so that they can be easily removed to safety.

4. It is also recommended that Ministries should be supplied with suitable equipment as mentioned above for storage of their documents.

**MEMBERS**

Mr. Suji - Ondik - Chairman
Mr. J.W. Kimani - Member
Mr. J.K. Kiuru - Member
Mr. P.F. Odongo - Secretary
Mr. M. Musombi - Member
APPENDIX K

SYNDICATE ON TRAINING OF RECORD OFFICERS AND DEVELOPMENT

Records Management is the area of office management that relates to the creation, maintenance and disposal of records.

The success of record management depends on the availability of an appropriate establishment and trained personnel.

Whereas there may exist an appreciation in government for the need of establishing a records management programme, it is necessary to have an appropriate establishment made up of well trained record managers and Record officers in order to achieve an effective Record Management Programme.

It is our view that the creation of Record managers and record officers should be developed from the existing core of Registry staff which at the moment constitute the creation and production centres of public records.

Because of the close link between the existing Registries and Record Management programmes of the National Archives, it would seem most appropriate that the Record Management Programme staff establishment should be closely related and linked with the existing Registry Staff organization.

To avoid starting a record Management Programme from scratch we feel that a training schedule for the transformation of the present Registry staff into Record Managers and Record Officers should be initiated. This we feel because the present Registries constitute the basic record Agency offices.

The transformation of Registry Offices into Record Management Offices should create an organization structure which will make it possible for the present Registry staff to look forward to their future with hope as opposed to the present system where the Registry has become a dumping ground for the unwanted officers.

To achieve this transformation a training programme should be drawn up which will update and modernise the present Registry staff to convert them into Record Managers and Record Officers.

The present set-up in government has little facility for training and advancement of Registry staff. As a result the Personnel Establishment has tended to obscure the role and future of Registry staff.

The present training facility for Registry personnel is very limited in the sense that other than office management, the clerical proficiency courses, there is no other facility. In view of this we feel that a crash programme should be initiated for training and transforming the present Registry staff into Record Managers and Record Officers.

Initially we feel that this could be achieved by a series of seminars and conferences for all Registry Supervisors including Senior Administrators under whom the registries operate; and actual Registry staff.
For future purpose therefore, we recommend a detailed training programme under the umbrella of the National Archives in conjunction with the D.P.M. aimed at improving and streamlining Government Records Management.

Paper produced by:

1. Sotsi Mohammed - Chairman
2. D. Kimani - Secretary
3. W. Kitavi - Member
4. A.S. Munywa - "
5. S.A. Mirza - "
6. E. Muiruri - "

(Consultants Note. A syllabus for a week's course in training operatives below O.I.C. or superintendent's level has been supplied to the National Archives and the Chairman of this syndicate. It is attached as Annex A to this Appendix).

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ANNEX A TO APPENDIX K

RECORDS MANAGEMENT

- 8.30 a.m. to 4.30 p.m.
at 491 Kent Street, Sydney.
1st Floor
in Conference Room One

Course Co-ordinator: Graham Cross
61-9701 Ext 57.
<table>
<thead>
<tr>
<th>TIME</th>
<th>Monday 15th May 1978</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.30 to 9.30</td>
<td>Introduction</td>
</tr>
<tr>
<td></td>
<td>Single File</td>
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<tr>
<td>9.35 to 10.25</td>
<td>Current Problems in Records Management</td>
</tr>
<tr>
<td></td>
<td>MORNING TEA</td>
</tr>
<tr>
<td>10.45 to 11.35</td>
<td>Philosophy of Records Management</td>
</tr>
<tr>
<td></td>
<td>Dianne Patenall</td>
</tr>
<tr>
<td>11.40 to 12.30</td>
<td>Records Management Office</td>
</tr>
<tr>
<td></td>
<td>Dianne Patenall</td>
</tr>
<tr>
<td></td>
<td>LUNCH</td>
</tr>
<tr>
<td>1.30 to 2.25</td>
<td>Record Creation</td>
</tr>
<tr>
<td></td>
<td>Olga White</td>
</tr>
<tr>
<td></td>
<td>AFTERNOON TEA</td>
</tr>
<tr>
<td>2.45 to 3.35</td>
<td>Record Operations</td>
</tr>
<tr>
<td></td>
<td>Olga White</td>
</tr>
<tr>
<td>3.40 to 4.30</td>
<td>Record Maintenance and Security</td>
</tr>
<tr>
<td></td>
<td>Dawn Troy</td>
</tr>
<tr>
<td>TIME</td>
<td>Tuesday 16th May 1978</td>
</tr>
<tr>
<td>-------</td>
<td>----------------------</td>
</tr>
<tr>
<td>8.30</td>
<td>Equipment Utilization</td>
</tr>
<tr>
<td>9.30</td>
<td>Terry Reilly</td>
</tr>
<tr>
<td>9.35</td>
<td>Equipment Utilization</td>
</tr>
<tr>
<td>10.25</td>
<td>Terry Reilly</td>
</tr>
<tr>
<td></td>
<td><strong>MORNING TEA</strong></td>
</tr>
<tr>
<td>10.45</td>
<td>Classification</td>
</tr>
<tr>
<td>11.35</td>
<td>Robyn Flynn</td>
</tr>
<tr>
<td>11.40</td>
<td>Keyword Classification</td>
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<tr>
<td>12.30</td>
<td>Robyn Flynn</td>
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<td><strong>LUNCH</strong></td>
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<tr>
<td>1.30</td>
<td>Keyword Classification - Practical</td>
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<td><strong>AFTERNOON TEA</strong></td>
</tr>
<tr>
<td>2.45</td>
<td>Keyword Classification - Practical</td>
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<tr>
<td>3.35</td>
<td>Robyn Flynn</td>
</tr>
<tr>
<td>3.40</td>
<td>Record System Design</td>
</tr>
<tr>
<td>4.30</td>
<td>Ruth Morris</td>
</tr>
<tr>
<td>TIME</td>
<td>Wednesday 17th May 1978</td>
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<tr>
<td>------------</td>
<td>-------------------------</td>
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<tr>
<td>8.30 to 9.30</td>
<td>Record System</td>
</tr>
<tr>
<td></td>
<td>Ruth Morris</td>
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<tr>
<td>9.35 to 10.25</td>
<td>Record System Control</td>
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<tr>
<td></td>
<td>Ruth Morris</td>
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<tr>
<td>10.45 to 11.35</td>
<td>Visit</td>
</tr>
<tr>
<td></td>
<td>Denis Comber</td>
</tr>
<tr>
<td>11.40 to 12.30</td>
<td>Visit</td>
</tr>
<tr>
<td></td>
<td>Denis Comber</td>
</tr>
<tr>
<td>1.30 to 2.25</td>
<td>Visit - Discussion</td>
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<td>Denis Comber</td>
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<tr>
<td>2.45 to 3.34</td>
<td>The Role of the Records Supervisor</td>
</tr>
<tr>
<td></td>
<td>Simon Horstead</td>
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<tr>
<td>3.40 to 4.30</td>
<td>The Records Manager as Trainer</td>
</tr>
<tr>
<td></td>
<td>Simon Horstead</td>
</tr>
<tr>
<td>TIME</td>
<td>Thursday 18th May 1978</td>
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<td>------------</td>
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<td>8.30 to 9.30</td>
<td>Privacy</td>
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<td>Tony Krouk</td>
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<td>9.35 to 10.25</td>
<td>Archives Office of N.S.W.</td>
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<td>John Burke</td>
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<tr>
<td>10.45 to 11.35</td>
<td>Record Scheduling and Disposal</td>
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<tr>
<td></td>
<td>Olga White</td>
</tr>
<tr>
<td>11.40 to 12.30</td>
<td>Record Scheduling and Disposal</td>
</tr>
<tr>
<td></td>
<td>Olga White</td>
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<td></td>
<td>LUNCH</td>
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<tr>
<td>1.30 to 2.25</td>
<td>Record Scheduling and Disposal</td>
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<td>AFTERNOON TEA</td>
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<tr>
<td>2.45 to 3.35</td>
<td>Secondary Storage</td>
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<tr>
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<td>Denis Comber</td>
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<tr>
<td>3.40 to 4.30</td>
<td>Problems in Record Systems - Practical</td>
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<td>Denis Comber</td>
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<tr>
<td>TIME</td>
<td>Friday 19th May 1978</td>
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<tr>
<td>------------</td>
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<tr>
<td>8.30 to 9.30</td>
<td>Modern Concepts in Records Management</td>
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<tr>
<td></td>
<td>Terry Reilly and Ruth Morris</td>
</tr>
<tr>
<td>9.35 to 10.25</td>
<td>Modern Concepts in Records Management</td>
</tr>
<tr>
<td></td>
<td>Terry Reilly and Ruth Morris</td>
</tr>
<tr>
<td></td>
<td><strong>MORNING TEA</strong></td>
</tr>
<tr>
<td>10.45 to 11.30</td>
<td>Modern Concepts in Records Management</td>
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<tr>
<td></td>
<td>Audio Visual</td>
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<tr>
<td></td>
<td>Terry Reilly and Ruth Morris</td>
</tr>
<tr>
<td>11.40 to 12.30</td>
<td>Modern Concepts in Records Management</td>
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<tr>
<td></td>
<td>Terry Reilly and Ruth Morris</td>
</tr>
<tr>
<td></td>
<td><strong>LUNCH</strong></td>
</tr>
<tr>
<td>1.30 to 2.25</td>
<td>Problems in Record Systems - Practical</td>
</tr>
<tr>
<td></td>
<td>Terry Reilly and Ruth Morris</td>
</tr>
<tr>
<td></td>
<td><strong>AFTERNOON TEA</strong></td>
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<tr>
<td>2.45 to 3.35</td>
<td>Forum</td>
</tr>
<tr>
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<td>All available</td>
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<tr>
<td>3.40 to 4.30</td>
<td>Review</td>
</tr>
</tbody>
</table>
APPENDIX L

THE KENYA NATIONAL ARCHIVES: A SEMINAR ON RECORD MANAGEMENT PROGRAMME 1978

Participants to arrive at Conference Centre, Kenya Institute of Administration at 9.30 a.m. on 29 March.

Bus No. 18 passes the gate of the Conference Centre and will stop on request.

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Activity</th>
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<tbody>
<tr>
<td>29 March</td>
<td>9.30-10.30 a.m.</td>
<td>Registration and Arrangements</td>
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<tr>
<td></td>
<td>10.30 a.m.</td>
<td>Opening Address</td>
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<tr>
<td></td>
<td>11 a.m.-12.45 p.m.</td>
<td>Place of Records Management in Modern Public Administration</td>
</tr>
<tr>
<td></td>
<td>2-3.15 p.m.</td>
<td>Physical problems, particularly storage</td>
</tr>
<tr>
<td></td>
<td>3.30-4.30 p.m.</td>
<td>Coffee Break</td>
</tr>
<tr>
<td>30 March</td>
<td>9.30-10.45 a.m.</td>
<td>Classification and Indexing</td>
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<tr>
<td></td>
<td>11 a.m.-12.45 p.m.</td>
<td>Construction of Files</td>
</tr>
<tr>
<td></td>
<td>2-3.15 p.m.</td>
<td>Seminar group discussions on filing and classification</td>
</tr>
<tr>
<td></td>
<td>3.30-4.30 p.m.</td>
<td>Coffee Break</td>
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<tr>
<td>31 March</td>
<td>9.30-10.45 a.m.</td>
<td>Planning of disposal programmes</td>
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<tr>
<td></td>
<td>11 a.m.-12.45 p.m.</td>
<td>Staffing and training problems</td>
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<td></td>
<td>2-3.15 p.m.</td>
<td>Summary Discussions, suggestions, recommendations</td>
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<td>3-4.30 p.m.</td>
<td>Discussion continued.</td>
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Note: The UNESCO Consultant on Records Management Mr. Ian Maclean will be available outside formal seminar periods for informal discussion of aspects of records management.
RECORDS MANAGEMENT SEMINAR (K.I.A)
SYNDICATE ON REGISTRY SYSTEMS

Formation: Mr. S.M. Njoroge - Chairman
Mr. R.M. Manyu - Secretary
Mr. R.M. Onyango
Mrs. Kinara
Mr. J. Karitho
Mr. F. Gathira
Mr. F.O. Ndoge
Mr. G. Mbugua

Discussions

During its deliberations the syndicate observed:

a) that Government ministries have similar registry set-ups i.e. central registries, personnel registries, accounts and secret registries. In a ministry with many registries they use different colour folders for each registry system;

b) that the personnel registry system is the simplest in every ministry in that personal files are serially numbered for filing purposes;

c) that filing systems in registries dealing with policy matters, i.e. central, accounts and secret registries, are complicated in that files are stored according to their classification codes instead of simple sequence numbers and

d) that all systems mentioned at (c) above are a combination of either alphabetical, numerical or subject classification all of which were inherited from the colonial Government.

Through the discussion it was identified that the object of any classification system is to simplify the work of the systematic storage and putting up papers to "action officers" in a predetermined method.

The criteria of good classification systems and indeed of good registry service are as follows:

a) the records required at any time can be produced without unreasonable delay;

b) the records are adequately protected during the period over which they are retained for use;

c) the cost of installing and maintaining the system is reasonable having regard to the services required of the system.
Resolutions:

a) The syndicate recommended that the existing filing system in all ministries should be modified by introducing a "single number system" which simplifies:

i) the arrangement of files in racks/cabinets;

ii) the tracing and movement of files and

iii) the disposal schedules to the archives.

b) It further recommended that the single number filing system should be experimented first by a selected ministry/department before being introduced to the entire Government structure. To do this, the syndicate felt that it would be imperative that the Government sends five or six registry superintendents to Australia - the architect of the new system - for further training in order to equip itself (Government) with the required skill which would be then implemented to the entire Government ministries. With the emergence of microfiling in developing Kenya, the change from a letter system should however not be over-emphasized.

c) Through seminars, the top level management in the various Government ministries should be made aware of the importance of the registry services in order to ensure that the registries are accorded due importance in the management.

(Consultant's Note. Five or six superintendents is more than the consultant recommended. However three (in the first year including the Chief Records Management Officer) for a period of four months would, fares apart, not cost more than one scholarship; and a second year could be envisaged at similar cost. The consultant has recommended that the training be by attachment to his own institution. This would mean Australian Government scholarship backing. The consultant has not raised this with the Government but from previous experience, he is aware that the Australian Government has, in the past, tended to look more favourably on practical or applied training than more theoretical academic training in its assistance programme for development countries).
SCHEME OF SERVICE FOR RECORD OFFICERS

Having considered deeply the growing importance of records in the Republic of Kenya, the Records Management Seminar held at Kenya Institute of Administration from 29 to 30 March 1978 drew the following scheme of service for the officers concerned.

Grades

These grades are based on the type or nature of work, experience and educational qualification.

- Records Assistant III - Job Group E
- Records Assistant II - Job Group F
- Records Assistant I - Job Group G
- Records Officer III - Job Group H
- Records Officer II - Job Group J
- Records Officer I - Job Group K
- Senior Records Officer - Job Group L
- Chief Records Officer - Job Group M

Experience should carry much weight in all promotion staff aspects.

Qualifications

It must be emphasized that both experience and academic qualifications are necessary tools. Direct appointments can be made to Job E provided one has E.A.C.E., Div. I-III. Advancement to Job group F within the serving Records Assistant III will depend on suitability and experience; at least a service of one year is compulsory. Appointment can be made direct to Job group G provided one has the necessary experience.

A serving officer on job group G can be appointed as Records Officer III provided one has got experience of 2-4 years.

A holder of a relevant approved university degree either in library or social sciences can be appointed as Records Officer II Job J. A serving officer can be provided to Job Group J provided he has got an experience of 4-8 years in the relevant field. Appointment to Job L-M depends on both experience and training.

District Records Officers - who will be in charge of District Records Centres - should be on Job group J. We leave open Occupational Test for lower grades for the time being.

Administration of the Scheme

The scheme should be administered by the Directorate of Personnel Management in consultation with other relevant Government Departments.
Legislation

This should be done by the Office of the President. This will give the scheme a strong legal standing.

Forwarding of Records

District Records Officers should inform the Administrative Officers about their office and they would forward the documents or records which are not in use to the records centre. This applies also to both provinces and Headquarters.

Members of the Syndicate

1. Mr. E.W. Muriithi - Chairman
2. K. Kimani - Secretary
3. Mr. W. Kinyinge - Member
4. Mr. E.W. Mwachoki - Member
5. Mr. J.N. Matibo - Member
6. Mr. I. Gathimba - Member
7. Mr. E.N. Kaguru - Member
8. Mr. C. Chigiti - Member

(Consultant's Note. The syndicate is aiming higher than the consultant. This is not inconsistent. The consultant was constrained by the limits of the National Archives staffing structure).

APPENDIX O

RECORDS MANAGEMENT IN MODERN PERSPECTIVE

Introductory

1. This appendix is contributed to explain for those that require a somewhat deeper analysis of the basic problems of filing systems (particularly in agencies using registry systems) than can practically be given in the main body of the Consultant's draft report to UNESCO or discussion papers for the Kenya Government authorities. These problems centre around the concept(s) of classification and indexing and apply through the whole (public) records administration cycle - in the registry, in disposal (or disposition) planning, in record centre and archives administration.

2. Some who read this will be aware that, in Australia, an approach that differs from almost all other countries in the world, has been adopted. This appendix attempts to explain, as simply as practicable, what the differences are and why.
Brief Historical Background - Registry Systems

3. When the Commonwealth of Australia was inaugurated in 1901 and its independence established, the record system most commonly found in all federating states and adopted in the new Commonwealth Government's embryo civil service was the colonial records system of the time. On the other hand, when ex-colonies like Kenya gained independence in the early 60's the colonial record system had changed markedly in character. The effects of this will become apparent in due course.

4. At or around the turn of the century, record systems, at least in England and its colonies, were slowly developing slightly more sophisticated forms than the long-established simple system whereby inwards letters were registered as they came in and were kept (and usually bound in chronological order) while outwards letters were copied also chronologically into 'out-going' letter books. Particularly when type-writers and carbon paper made loose copies easily obtainable, it became increasingly the practice to allocate in-coming letters etc., a running number, within each year, in order of receipt, and at the same time a copy of the reply, if any was fastened to it when it was filed away. This 'pair' often called a docket, was the simple origin of the modern file, particularly if and when internal reports, minutes or notes etc., were filed with the original letter and its answer. For some time if the out-going answer begot a further in-coming letter, the new letter was numbered (registered) in due chronological order and if necessary the earlier docket was supplied to the officer dealing with the matter. When the second registered letter was answered each single docket both new and old was refilled in exact numerical sequence. This was soon seen to involve more work than was necessary and the practice was widely developed whereby earlier dockets were filed as one 'file' under the latest relevant number, the register being marked accordingly. This was the most common system up until the First World War.

5. Throughout the time described above, a subject and name index was maintained at the back of each (usually) yearly register of incoming letters.

6. It should be noted here as a matter of great significance that despite the awkwardnesses involved, each file was a 'natural' file with papers filed not purely or intentionally by 'subject' but by 'natural administrative affinity' or by sequence of administrative activity'. As a corollary, isolated papers with no administrative affinity were simply left in their numerical order of receipt to become obsolete in due course.

Effects of the First World War

7. The World War greatly increased the quantity of records and decreased the number of clerks available - so much so that both in England and Australia, among other countries, postwar administrators were determined to effect changes in the more 'time-consuming' aspects of the pre-War system. Particularly they questioned the registering of inwards correspondence. At the same time two other influences made themselves felt. The subject classification system for libraries became more uniform and widely known, and various salesman of office equipment emphasized the merits of 'self-indexing' systems and/or the use of flexible card systems instead of 'registers' in book forms.
8. In England, started it is thought within the Treasury, a 'multi-numerical' subject classified system was developed which (supplemented at most by a name index) was confidently expected to replace the registering of all individual papers by the registering, on receipt of a 'new' paper, a new subject file to which would be added, without additional registration, all papers on the same subject. Every attempt was to be made (to avoid typing or clerical errors) to keep the numbers to three e.g. 1/1/1. The first number represented the Primary Subject, the second number the Secondary Subject, while the third was the Running File Number. This system, with or without minor variations (e.g. alpha-numerical), seems to have been used virtually in all ministries; certainly it appears to have been adopted by the Colonial Office for use, not only at home, but in the colonies.

9. In the Australian Federal Government some departments (Australia does not use the Ministry/Department hierarchy) followed more or less the English practice. Others continued to use a year/single consecutive number (allotted to the first new paper only) system relying on a continuing card index to handle all aspects of subject control. The subject index was usually supported by a name index. The year/single number systems survived tolerably well (although lack of consistency in subject indexing was a real problem) even through the Second World War. However some of the departments which had adopted multi-numerical (and they the ones most concerned with broad non-technical policy) had a great deal of trouble. One, the most important of all, had to change its whole filing system many times from 1920 to 1950, renumbering or partially re-numbering earlier files each time. The result was near chaos especially for the archivist years later. In the early fifties the confusion was so great that the Public Service Board (in most respects equal to the Kenyan Directorate of Personnel Management) and the Commonwealth Archives, starting independently, arrived jointly at the same conclusion, namely that there was no 'natural' or correct physical subject classification, and that the year/single number system met all requirements of modern record management (including relative ease of separating semi-current and non-current files from the current registry) with the provisos:

(a) that except where 'dossier' files (e.g. personnel files) could successfully be used, files should be properly constructed not on broad general subjects but in relation to specific activities or administrative events with properly descriptive titles designed as far as possible to bring to each file not only a reasonable exclusiveness but also a natural 'closing point' as soon as practicable; and

(b) that the all-important subject index should be carefully but pragmatically constructed and kept under the control of an 'authorized' list of subject headings.

10. The revised approach was promulgated in the early fifties as most desirable though not essential. It was conceded that multi-numerical systems could be used by departments with subject matter that was predominantly technical and which did not change significantly from year to year, on condition that provisos (a) and (b) in paragraph 9 above should be observed. In multi-number systems, the subject control was of course, exercised in the classification guide which like a list of authorized index headings controlled the allocation of primary and secondary numbers. Even
so the multi-number schemes have not lent themselves to easy
disposal routines. However, where the provisos (a) and (b) have
been observed office efficiency has been up to the standard of the
year/single number system. Incidentally no system in Australia (or
in England as far as is known) has returned to registering the
generality of inwards correspondence.

The Kenyan Problem

11. Virtually all Government registries use either a multi-
numerical or an alpha-numerical system. It is ironical that in
virtually every office the Survey Team visited, the senior officers
and others commented on a wonderful new 'device' which is helping
to find urgently needed recent documents in minutes rather than
hours. This device was the registering of all inwards correspondence,
the abolition of which was supposed to be one of the main achieve-
ments of the new multi-numerical system. In other words the
inference is that in this area of 'current reference' at least, the
filing system, as such inherited and adapted by the Kenyan Govern-
ment, has not been doing its job. Some more specific comments have
been made in the body of the report but the main underlying problem
with most Kenyan systems (and as the consultant believes with many
such systems in other countries) is that the final so-called file is
not a file in the sense prescribed in proviso (a) above. Instead it
is merely a further subdivision of the subject matter (e.g. an
aspect of a wider subject) that will usually continue on and on for
years, occupying many 'volumes' and, too often, mixing policy with
routine papers. The aim of filing clerks is to avoid opening new
files rather than (as it should be) to open (and close) as many as
possible. The result of not opening new files is that the so-called
file becomes a kind of 'miscellany of papers on such and such a
subject'. The most misunderstood advice (though well-meant) ever
given in record management practice is "one file - one subject" and,
nearly as bad "one file - one aspect".

Physical subject classification or no physical
subject classification

12. It will be obvious from the above that in Australia the
preferred solution for registry practice is that there should be no
physical classification of the files (except in years) each file
being given purely a reference (i.e. address) number. (It is not
often recognized that many great national and research libraries do
not place their books etc. in the stacks in order of classification
according to Dewey, L of C, U.D, Bliss etc. They use a 'running'
location number in the stacks with only that small part of the total
holdings open to the 'browsing' public, being shelved according to
subject classification. Even more significantly, no physical
classification by subject is used for automated or semi-automated
documentation and information retrieval, each item being given an
'address' number only).

Disposal

13. There are two problems involved in properly organized disposal
programmes the most important and difficult being to decide what
should be destroyed and what should be kept as Archives; but almost
as difficult is to separate files which are not current or 'dormant'
and which need not be kept in current registries.
14. The first problem is quite complex and is widely discussed in professional and technical literature; it is sufficient to say here that it is as difficult under present-day multi-numerical systems as under present day year/single number systems. The second problem is infinitely easier to resolve with a year/single number system. For example, assuming that a department sends to secondary storage records that are five years old, then early in 1979 it would send all records for 1974 to storage except those not yet closed. The latter would be re-registered in 1979 and the file register for 1974 marked accordingly.

Secondary Storage (Record Centre)

15. As the first (sometimes only) consignment is sent to the Record Centre the deposit, even before its correct provenance(s) can be confirmed can be allocated simply the next available series number(s). In other words the 'series' number need not and preferably should not be related to the transferring office or to a broad subject or administrative class. Of course a record of deposits (accessions) should be kept numbered in chronological order but this number is subordinate to the 'series' number and would show to which series each deposit had been assigned. As each deposit is assigned, the series registration records is varied accordingly. The creating and/or transferring public offices to which series are attributed are, as it were, recorded in an 'organizational' index. In other words, again there is no physical subject (or functional or organizational) classification or significance in the address number of the 'series' themselves (though there may be subject classification within the series as created by the office).

Archives

16. If the system as prescribed for Record Centre is followed the basic work is being done for the Archives (Centre). As it frequently happens that any one series (e.g. in Kenya a series exists attributable to Water Department (Colonial), Ministry of Agriculture, Ministry of Water Development) may have been added to by successive offices. The one series number can be used to maintain continuity and uniformity of control within the series while the series can be described as appropriate in more than one inventory or section of a guide. Again there is no physical classification of the actual archives on the shelves, which in fact makes it simpler to use a repository more efficiently. Moreover it avoids double accessioning while provenance is more accurately recorded by the above method than by assigning such a series to one only 'archive group' or by trying to divide the series (and related registers, indexes etc.) between several groups.

+ "Series" in this context is the term for the basic 'archives' unit of treatment. It is difficult to define but a simple explanation is that a series is all the records under a single control system.
APPENDIX P

A TENTATIVE PROPOSAL FOR DISCUSSION
A 'MURUMBI PROJECT'

1. Included in the Murumbi collection exist, or potentially exist, virtually all the categories of documentation and 'cultural evidences' that the Kenya National Archives will house. There are personal archives (including some public archives), periodical literature (a major source of documentation) books (including of course rare books), works of art (whether picture, sculpture etc.) artefacts, plus a few films. An early priority in oral history would surely be to round out the Murumbi collection with carefully programmed and structured interviews with both Mr. Murumbi himself and living intimates.

2. Incidentally it is already known that problems of national and political confidentiality exist, and an early solution which satisfied Mr. Murumbi might well occasion further deposit of more sensitive and hence even more valuable material.

3. The organization of the National Archives is being shaped along specialist lines but, from the viewpoint of an impartial observer, there is danger of the specialisms each following rigidly and increasingly separate 'conventional' objectives and procedures with less than ideal integration (incidentally leaving open the transfer of a given function to another institution should circumstances change).

4. As implied above, the Murumbi collection is virtually a 'microcosm' of the future National Archives. Further, it was an expensive and highly publicized acquisition and the National Archives will need to demonstrate both early and sound progress in gaining intellectual control as well as accountability for individual items inventoried for evaluating purposes but not yet systematically registered.

5. Experienced, if unofficial, documentalist advice is that one single intellectual control using what would be a pilot, but practicable, "NATIS" documentation approach would be perfectly possible (resources permitting) to cover all categories of 'evidences' without adversely affecting the principles of any of the specialisms involved. The documentation index might be thought of as an 'umbrella' coordinating the information content of different "series" of variegated materials. This approach would also permit the registration (with an individual number) of every item in the collection and thus help to safeguard it as referred to in paragraph 4 above.

6. At least three major advantages would follow from a decision to attack the organization of the Murumbi collection as a first and major priority.

(i) The Thesaurus of key words which is the backbone of the documentation system, would, because Murumbi's collection is so broadly based, be a useful beginning for a NATIS type Thesaurus at the right (i.e. national or cabinet) level.
It would be an important project to which nearly all branches of the National Archives could contribute and which would provide actual practical experience in areas which are, presently, largely theoretical and it would be invaluable as a means of building 'team spirit'.

It would be one of the first "practical" projects in the world along NATIS lines, progress on which could, to Kenya's (and the archivist profession's) everlasting credit, be demonstrated at the Round Table on Archives, to be held here on October 9 - 14.

The Kenya National Archives already has many of the persons who could usefully participate. The main shortage is an experienced documentalist to plan and proceduralize the approach. I understand Mr. Lyle* is such a person. Thereafter I would suggest as follows:

Mrs. Kinara, Practising documentalist and (coordinator)
Mr. Gideon Matwale, Technical and Administrative Member
An Archivist plus a clerical assistant
A Librarian plus a clerical assistant
An Art Specialist
An Artefacts Specialist
At least one typist
Cleaners, Security Guards, etc.

Dr. Thurston would, with her knowledge of Mr. Murumbi and his collection, be a part-time consultant (and perhaps concentrate on related oral research). I would like to be a consultant too until my departure? Unofficial but skilled advice could well be available.

* An experienced executive and information scientist recruited through the Commonwealth Secretariat to act for a year (at least) as a Deputy to Dr. Kagombe.