

## LIST OF ABBREVIATIONS AND ACRONYMS

- ACPP: *Associação da Comunidade Portuguesa de Pretoria* (Association of the Portuguese Community of Pretoria)
- CADG: Community Archives Development Group
- CBO: Community-based Organisation
- CCAN: Cambridge Community Archive Network
- CEMA: The California Ethnic and Multicultural Archives
- DISA: Digital Innovation South Africa
- FAPRAS: *Federação das Associações Portuguesas da África do Sul* (Federation of Portuguese Associations of South Africa)
- GALA: Gay and Lesbian Memory in Action Archives
- HMCC: The Hellenic Museum and Cultural Center in Chicago
- HSRC: Human Sciences Research Council
- ICA: International Council on Archives
- ICTs: Information and Communications Technologies
- IHRC: The Immigration History Research Center
- IHS: Italian Historical Society (Australia)
- IK: Indigenous Knowledge
- ISO: International Organisation for Standardisation
- JCNM: Japanese Canadian National Museum
- LAC: Library and Archives Canada
- LGBT: Lesbian, Gay, Bisexual and Transgender
- NAAIRS: National Automated Archival Information Retrieval System
- NAREF: National Register of Photographs
- NAREM: National Register of Manuscripts
- NAROM: National Register of Audio-visual Materials
- NAROS: National Register for Oral Sources
- NARS: National Archives and Records Service of South Africa
- NGO: Non-governmental Organisation
- NNMCC: Nikkei National Museum and Cultural Centre
- NPO: Non-profit Organisation
- OPAC: Online Public Access Catalogue
- PAA: The Ferreira-Mendes Portuguese American Archives

PCHP: Portuguese-Canadian History Project  
PCO: Portuguese Community-based Organisation  
PHIA: Polish Historical Institute in Australia  
PIASA: The Polish Institute of Arts and Sciences of America  
POSK: The Polish Social and Cultural Association  
RAM: Records and Archives Management  
RAU: Rand Afrikaans University  
RM: Records Management  
SAHA: South African History Archives Trust  
SAJBD: South African Jewish Board of Deputies  
SPARC: Swapo Party Archive and Research Centre  
UJ: University of Johannesburg  
UK: United Kingdom  
UKZN: University of KwaZulu-Natal  
UN: United Nations  
UNESCO: United Nations Educational, Scientific and Cultural Organisation  
UNISA: University of South Africa  
US: United States of America  
WITS: University of the Witwatersrand

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## **CHAPTER ONE: GENERAL INTRODUCTION**

### **1.1 Introduction**

South African institutions of preservation, such as archives, have often focused their collecting efforts on records of national significance and on documenting the perspectives of the more dominant communities that represent power and government. This has resulted in the underrepresentation of certain communities in the archival heritage of the nation, such as the Portuguese community in South Africa (Harris, 2002; Kaufman, 2004; Sachs, 2006; Galser, 2010; and Cook, 2013). Flinn (2007:152) goes on to explain that broadening participation by including communities that have been underrepresented in a nation's archival heritage is imperative, and that it is in the interests not only of the particular group concerned, but of all. He elaborates by stating that the history of these communities "... is not only important for those groups, but impact on all our stories, and together they make up an inclusive national heritage, our national histories".

This study therefore aims at broadening participation by investigating how to bring the contemporary history of the South African Portuguese community into the country's archival heritage. To achieve this aim, the study sought to develop an archival collecting framework for the records generated by their community-based organisations, since these materials are deemed an important source for preserving the social history, memories and experiences of an under-documented group, such as the Portuguese in South Africa. National and international sources were analysed and reviewed, and an empirical investigation to examine the Portuguese community organisations in the Gauteng province was conducted, in order to gain an understanding of the most effective strategies for collecting, managing and preserving these records.

### **1.2 Background to the study**

In society, individuals, groups and organisations make and keep records that serve as evidence and memory of their activities. While records,

recordkeeping and archiving may take many forms, decisions on which records are kept relate to prevailing ideas about their usefulness and continuing worth to individuals, groups and society in general, often linked to those who have the power to make these decisions. In this context, “societies institutionalise their collective archives according to their own evidence and memory paradigms. These paradigms influence what is remembered and what is forgotten, what is preserved and what is destroyed, how archival knowledge is defined, what forms archives take, how archives are described and indexed, and who have ownership, custodial and access rights relating to them” (McKemmish, Gilliland-Swetland and Ketelaar, 2005:146).

Shilton and Srinivasan (2007:88) further explain that, throughout history, the “power to represent” and record societies’ experiences has been held by heritage and preservation institutions such as archives, and the manifestations of this power have helped to build societies’ perceptions of their past, their cultures and memories. However, although the overarching purpose of these institutions is to preserve records that are representative of all spheres of human activity, they have often ignored experiences outside the history of the state and the powerful, consequently creating gaps in the portrayal of a society’s past experiences and social memory.

In view of the way social history has developed since the 1960s and the postmodernist theories that have been applied in the archival field, archives have tried to do the necessary reorientation. In the early 1970s, American archivists such as Howard Zinn, and European archivists such as Hans Boom made archivists aware of the fact that they should focus collection development work not only on the elites of society, but on documenting the lives of ‘ordinary people’. According to Keough (2002:242-243) these archivists argued that archival repositories lacked significant documentation on, amongst others, women, minority groups, and immigrant communities, and that a more balanced historical record needed to be pursued). Within this context, concepts and practices such as the ‘total archives’, ‘community archiving’, and ‘participatory archiving and appraisal’ began to be advocated,

requiring archivists to consider including the lives of these ordinary people and members of underrepresented social groups.

More recently, this has led to the International Council on Archives – in its *Universal Declaration on Archives* (International Council on Archives, 2010) – recognising that archives play an essential role in the preservation of collective social memory, and that there is a diversity of archives and a need to record every area of human activity. However, even though there have been calls for a more inclusive archives internationally, and there are collecting initiatives working towards that goal, to date this reorientation has not been comprehensive, and has gained little real support. Consequently many mainstream archives still focus their collecting approaches on records of ‘national significance’ or those representing power and government. Cook (2000:169-181) supports this by criticising the continued approach of archives that privileges official documentation of the state over that of individuals or private organisations and communities. Singer (1997:26) adds that those archives that do attempt to include the documents of underrepresented communities are often the result of the vision of only a few members of the specific group who recognise the importance of preserving the information and the history about themselves.

Similarly, for most of their history, South African mainstream institutions of preservation, such as the National Archives and Records Services of South Africa, have also focused their collecting efforts on preserving records that reflect the perspectives of the more prominent individuals and dominant communities of society, or those that were and are represented in positions of power or government. The National Archives and Records Services of South Africa Act (South Africa, 1996b) acknowledges this by stating, in sections 3 and 14, that there is the need to document aspects of the nation's experience, neglected by archival repositories in the past. The Act further indicates that there are gaps in the documentation of South Africa's societal memories and experiences. The National Archives and Records Services of South Africa (NARS Official Webpage, 2012) supports the mandate of the Act by suggesting that it is necessary to “fill these gaps by bringing into the archives

the stories and narratives which reflect the experiences and memory of those South Africans that had been marginalised in the contestation of social memory and the nation's experiences.”

This focus, especially of the state or government and other mainstream archives in South Africa and their holdings on the narratives of power, has resulted in a lack of an archival heritage of many groups. These under-documented groups may be defined across gender, culture, race, ethnicity, nationality, class, politics, sexuality, and many other dimensions. Harris (2002:73) points this out by stating that experiences of the black indigenous populations have been poorly documented, and so have the voices of women, the disabled, and other groups – such as immigrant communities.

Nonetheless, just as in other countries such as the United States and Britain, movements influencing archives in South Africa – such as social history and postmodernist theories, ‘post-custodial’ approaches to archival preservation – and South Africa’s recent transition to a democracy, have also brought about the emergence of archives, especially independent non-public institutions, that are committed to filling gaps in the country’s social history, and telling the stories of some of these underrepresented groups (Harris, 2002:75-76). These include the South African History Archives Trust (SAHA), which strives to recapture the neglected history of previously underprivileged groups of South Africa, the Gay and Lesbian Memory in Action Archives (GALA), which devote their collections to the gay and lesbian communities of South Africa, and the Rochlin Archives of the South African Jewish Board of Deputies.

Unfortunately, as is the case abroad, Harris (2002:78) notes that, although there have been a few collecting efforts that have striven towards bringing the history and experiences of some of these underrepresented groups into the archives, a comprehensive orientation of this type in the archival field has similarly not been evident in South Africa. Many groups continue to be underrepresented and under-documented in our archives and other institutions of preservation. Harris (2002:80) therefore recommends the need for archival collecting endeavours to embrace the concepts of postmodernism and social history, by complementing and supplementing the holdings of

mainstream archives by filling its gaps. In addition, collecting strategies in South Africa need to be driven by the post-colonial and post-apartheid imperative of finding those voices that have been disregarded or overlooked in the nation's archives, such as the contemporary narrative of the Portuguese community in South Africa.

### **1.3 Motivation for the study**

According to the Commission for the Promotion and Protection of the Rights of Cultural, Religious and Linguistic Communities, Act 19 of 2002 (South Africa, 2002:2), provided for by the Constitution, the "South African nation consists of a diversity of cultural, religious and linguistic communities". Also, according to the Constitution (South Africa, 1996), sections, 6, 9, 29, 30, 31, 35, 185 and 186, and the Commission (Act 19, 2002), all communities should be treated equally in South Africa, and the cultures of all communities need to be promoted and protected. The Commission emphasises the importance of all South Africans promoting respect for the cultures, religions and languages of each other "... so as to promote peace, friendship, humanity and tolerance among communities" (Rautenbach, 1998:58). It also notes that the understanding of these diverse cultures can assist in promoting national unity amongst communities and nation building.

The above statutory mandate has many possible ramifications. Amongst these is the importance of having knowledge of our diverse past, in order to gain an understanding of what South Africa is today. An understanding of each other, and how all South Africans have contributed and still contribute towards a South African identity and experience is imperative, and can only be achieved, inter alia, through an understanding of our multiple, yet uniquely South African heritages and histories. As a means to accomplish this, the records of the diverse communities that constitute South African society need to be collected, managed and made available, including the archival records that capture the experiences of the many national, ethnic and immigrant communities of South Africa, such as the Portuguese community.



However, despite the fact that the Portuguese are the third largest European community in South Africa, and although they have been an integral part of contemporary South African society since the early twentieth century, minimal literature and materials on the modern-day community are available for research (McDuling, 1995; Glaser, 2010). A bibliographic search of the National Archives and Records Service of South Africa's National Automated Archival Information Retrieval System (NAAIRS) database supported the limited representation of materials of the Portuguese community.

First of all, it was observed that the records found in existing archival collections were not those that relate to the experiences of the day-to-day life of ordinary community members, since the growth of this community in South Africa due to immigration in large numbers during the early twentieth century, when the community reached its most populous stage here. Instead, the materials that were found were mostly records of the Portuguese 'discoveries' of South Africa during the 1500s, and accounts of important individuals and events relating to that period. Glaser (2010:62) also acknowledges this by explaining that "while a great deal has been written about earlier Portuguese involvement with the subcontinent dating back as far as the fifteenth century 'discoveries' – to my mind much more significant migrations of the twentieth century have largely been overlooked".

Second, it was also noticed that the archival records of the contemporary Portuguese community that were found, often did not represent the narratives of the members of the community itself. Instead, the records found were of the Portuguese from the perspective of the South African government, such as of the Portuguese as 'illegal entrants and immigrants', and records relating to the legal and 'racial' status of Portuguese immigrants within South African society. Similarly, the *Directory of Archival Repositories* (National Archives and Records Services of South Africa, 2005) also confirms that there are no private archives, university special collections or community-based archives dedicated to documenting the experiences of the Portuguese community in South Africa today.

Therefore, collecting and safeguarding documents generated by the Portuguese community that hold an archival record of its contemporary history and experiences will add to the archival heritage of South Africa. Furthermore, materials collected will not represent a Portuguese story primarily; rather they will reflect the experiences of a South African community, its life within South Africa, and its contributions to this country – a story indigenous to South Africa. Any attempt to develop archival collections of this community will be one of a uniquely South African nature, and will therefore complement the archival heritage of South Africa. This documentary heritage may also contribute to the work of archivists, historians, researchers, and to community members and the broader South African society, gaining a more balanced understanding of its diverse past, a necessary step towards, as mentioned by Rautenbach (1998:58), building national unity amongst communities and nation building.

Lastly, Pereira (2000:31), points out that the Portuguese community are part of South Africa's history in many ways and have a long-standing presence here, with the arrival of large numbers of Portuguese immigrants from the early twentieth century. Therefore, strategies and solutions need to be found to safeguard any potential archival materials that reflect the presence of this community in South Africa.

#### **1.4 Theoretical framework for this study**

In recent decades two interrelated schools of thought, postmodernism and social history, have presented the archives profession with a theoretical paradigm that supports the rationale for collecting the records of communities that have been underrepresented in archival and other heritage institutions. Discourses on postmodernism are most often seen in philosophers such as Michel Foucault, Jean Lyotard and Jean Baudrillard. Simply put, these philosophers reject the idea of objective truth and a singular historical narrative. In this context, postmodernism is concerned with plurality, differences, skepticism and textualisation. It is often seen as a reaction to modernism, where objectivity, certainty and unity were underpinning views. In his investigation of the possible impact of the postmodern philosophy on

archival discourse Cook (2001:17) explains that a postmodern archival discourse takes for granted that records are no longer documents of complete truth, but rather products which originate within a specific context. This shift from absolute truth to subjective memory is an important one if we want the institutions of preservation that house our memories to reflect more accurately all components of the complex societies they supposedly serve (Cook, 2001:18). Given the responsibility of preserving a comprehensive documentary heritage of society, archival institutions therefore have as their duty to consider the views of postmodernism, particularly those that are relevant to archival practice. The impact of postmodernism on the archival field and its relevance to this study are discussed in further detail in the literature reviewed in chapter three.

Born in the 1960s, and associated with postmodernism, social history deals with ordinary people rather than the elite. It therefore includes the history of ordinary people and their experiences of coping with everyday life. Mayer (1985:388), finding social history an important research trend that required a response from the archival community, advised changes to various aspects of archival management in order to keep up with research in the then emerging discipline. Regarding appraisal and acquisition, he explained that, while archives often had collected the documents of prominent members of society and mainstream organisations, particular effort should be made to preserve those less available records which document the experiences of black people, ordinary women, immigrant families, amongst others.

Various trends, principles and practices have emerged in the archival field, influenced by these two schools of thought. These include the concept of the 'total archives', the appraisal strategy of documentation planning, ethnic provenance, documenting underrepresented social groups and community archiving (Momryk, 2001; Keough, 2002; and McDonald, 2008). Although these principles and practices have at times been seen as ideals that are not entirely achievable by some critics, they still offer archivists a direction in which they should strive. Van Wingen and Bass (2008:575), also argue that, in the light of postmodernism and the new social history, which is a 'history

from the bottom up', archival practices regarding what records should be collected, has shifted to include the archives of ordinary people, and 'neglected voices', such as smaller social groups identified by gender, race, ethnicity and class differences.

These influencing theories, and the trends and practices that have consequently developed within the archival and related fields, that have a bearing on documenting under-documented communities and community archiving, will be examined in detail in the subsequent chapter on the literature reviewed (chapter three).

### **1.5 Statement of the problem**

Burns and Bush (1998:62) state that defining the problem is the single most important step in the research process. Forrest (1999:3) agrees, and proceeds to explain that a clear problem definition is critical to setting the direction for all subsequent phases in the research process, and helps to ensure that the research generates relevant information and knowledge. In view of the background to the study provided in section 1.2, the main problem to be investigated by this study is outlined as follows:

South Africa is made up of a diversity of communities, including immigrant groups such as the local Portuguese. Within this context, the archival heritage of South Africa should reflect this diversity and be inclusive of all these communities – such as the Portuguese community – if this heritage is to be considered a balanced representation of the country's histories, memories and experiences. However, database searches, directories and the consultation of various archival finding aids found that archival collections that reflect the contemporary history and experiences of the Portuguese community in South Africa are mostly absent, not only from government and other mainstream archival institutions, but also from non-public institutions. Therefore, strategies for identifying, collecting, managing and preserving potential archival records of the community need to be found.

The literature suggests that all available community archival materials and records originating from any source, such as from individuals and

organisations, should be sought in order to safeguard the experiences and histories of these under-documented communities and to enrich a country's heritage. Since South Africa has a number of Portuguese community-based organisations, this study set out to investigate these organisations and the records generated by them.

Preliminary observations suggested that currently the records produced by these Portuguese community-based organisations in South Africa are assumed to have only immediate administrative value, and members of these organisations imagine they have no use for others. Initial observations also proposed that these organisations are often unfamiliar with what an archive is or what the purpose of an archive is. Therefore, they have never thought of establishing an archival programme for themselves or of depositing their records in any mainstream archives. Consequently, after these records have served their administrative purposes, they are frequently stacked away into boxes, forgotten about, lost or simply discarded.

### **1.6 Aims, research objectives and research questions**

Given the above problem, the aim of this study is to investigate how records of the selected South African Portuguese Community-based organisations are generated, collected, managed and preserved, with a view to proposing a best practice model to guide future archival collection initiatives.

To achieve the above aim, and to put the findings in a larger context, the study starts by exploring the importance of collecting and preserving the documentary heritage of all communities in a diverse nation such as South Africa. These groups include South Africa's many national groups, linguistic and ethnic groups, and immigrant communities. This is underpinned by the understanding that the responsibility of archives is to preserve historical records that present – as far as possible – an accurate, balanced and inclusive representation of the past. National and international initiatives that have been undertaken to date to safeguard the histories and experiences of similar communities are also assessed. Lastly, the researcher also sought to determine the best possible circumstances in which to collect, manage and

preserve the records generated by the Portuguese community – that is, the state or other mainstream institutional acquisition of these records, or these records being preserved by the community organisations independently, or collaborative collecting partnerships.

### **1.6.1 Research objectives**

More specifically, the research objectives of the study were to:

1. Obtain information about the South African Portuguese community-based organisations in Gauteng.
2. Establish the nature of the records which are held by these organisations.
3. Establish the effectiveness of the recordkeeping practices of these organisations.
4. Determine if these organisations are supportive of and are willing to contribute their records to any archives collecting initiative.
5. Ascertain the organisations' preferences regarding the custody of their potential archival records.
6. Determine the willingness of mainstream institutions to accommodate the records of these community-based organisations.
7. Propose a model that will assist in managing, collecting and preserving the records of these South African Portuguese community-based organisations.

### **1.6.2 Research questions**

The following research questions were pursued, to assist in finding possible solutions to the above research objectives:

- What are the history, the nature, purpose, and the activities of the South Africa's Portuguese community-based organisations?
- To what extent do these Portuguese community-based organisations keep records of their activities?
- What types of records are being generated by these community-based organisations?
- How have these records been managed by these organisations up to now (the status quo)?

- What do these organisations do with their records after they have fulfilled their administrative use, that is, what are the appraisal and disposal practices of these organisations?
- For what purposes are these records currently used for?
- Do these organisations consider the development of an archival collection of the community important?
- Do these organisations feel that their records may contribute to an archival record of the community?
- Would these organisations be interested in being involved in any such proposed archival collecting initiative of the community?
- Would these organisations be willing to contribute their potential archival records by making them part of such an initiative?
- Who do these organisations prefer take responsibility for the care and custody of their records after these have fulfilled their administrative use?
- Where would these organisations prefer their potential archival records to be housed after these have fulfilled their administrative use?
- Are mainstream institutions such as the National Archives and universities in South Africa willing to accommodate the records of these community-based organisations?
- Are these mainstream institutions willing to provide assistance to these organisations?
- Are mainstream institutions willing to form partnerships with these community organisations?
- What possible framework may be suggested to provide the best way of collecting and safeguarding the community-based records generated by these South African Portuguese community-based organisations?

Table 1.1 below serves to illustrate the relationship of the research objectives, research questions and possible sources of data:

**TABLE 1.1: RELATIONSHIP OF RESEARCH OBJECTIVES, RESEARCH QUESTIONS AND SOURCES OF DATA**

<b><u>RESEARCH OBJECTIVE:</u></b>	<b><u>RESEARCH QUESTION:</u></b>	<b><u>POSSIBLE SOURCES OF DATA:</u></b>
<b>To obtain information about the South African Portuguese community-based organisations in Gauteng</b>	What are the history, the nature, purpose, and the activities of these organisations?	Interviews, organisations' websites and documents
<b>To establish the nature of the records which are held by these organisations</b>	To what extent do South African Portuguese community organisations keep records of their activities? What types of records are being generated by these community-based organisations?	Interviews
<b>To establish the effectiveness of the recordkeeping practices of these organisations</b>	How are/have these records been managed by these organisations up to now (the status quo)?  What do these organisations do with their records after these have fulfilled their administrative use, that is, what are the appraisal and disposal practices of these organisations?  What purposes are these records currently used for?	Interviews
<b>To determine if these organisations are supportive of and are willing to contribute their records to an archives-collecting initiative</b>	Do these organisations consider the development of an archival collection of the community important? Do these organisations feel that their records may contribute to an archival record of the community? Would these organisations be interested in being involved in such an initiative?  Would these organisations be willing to contribute their potential archival records by making them part of such an initiative?	Interviews
<b>To ascertain the organisations' preferences regarding custody of their potential archival records</b>	Who would these organisations prefer to take responsibility for the care and custody of their records after these have fulfilled their administrative use? Where would these organisations prefer their potential archival records to be housed after these have fulfilled their administrative use?	Interviews
<b>To determine the willingness of mainstream institutions to accommodate the records of these community-based organisations</b>	Are mainstream institutions such as the National Archives and universities in South Africa willing to accommodate the records of these community-based organisations? Are these mainstream institutions willing	Literature and interviews



	to provide assistance to these organisations? Are these mainstream institutions willing to form partnerships with these organisations?	
<b>To propose a model that will assist in managing, collecting and preserving the records of these South African Portuguese community-based organisations</b>	What possible framework may be suggested to best safeguard the community-based records generated by these South African Portuguese organisations?	Literature, website content analysis, and interviews.

### 1.7 Significance of the study

A literature survey on ‘documenting under-documented communities’, ‘community archives’, and related topics found that research in this field is lacking in South Africa. Therefore, the significance of the study lies in its potential for providing useful information and suggestions on how South Africans can fill the documentary gaps of their diverse history that have often been brought about by its institutions of preservation focusing on documenting the more prominent individuals and communities in its society, or those representing power and government. More specifically, the research results also present a framework for developing an archival collecting plan of the Portuguese community in South Africa by suggesting strategies aimed at contributing the records generated by their community-based organisations, as a means of preserving their contemporary social history, memories and experiences.

In addition, the researcher anticipates that the findings will be of interest and use to the organisations studied. By demonstrating the significance of these organisational records, and the contributions these might make to the heritage of their community and South Africa, the researcher hopes that the research findings may, inter alia, encourage the organisations in question manage their records more effectively, make these available to any proposed archival collecting initiative of the community, and help them make their case to potential funders of any such initiative.

Finally, it is also important to note that, although this study focuses on one community, its worth is underlined by a wider social and historical significance. Therefore, more broadly speaking, the researcher hopes that the

archival collecting framework outlined by the study may serve as a benchmark for developing collections of other under-documented communities, thereby contributing towards a more inclusive archival heritage in South Africa. An additional hope is that the study may help demonstrate to a wider audience the importance and value of these community-based organisational records.

### **1.8 Originality of the study**

Academic research conducted to date has not examined, in depth, possible strategies for collecting and preserving the organisational records of under-documented groups in South Africa, such as the Portuguese community, as a means of safeguarding their contemporary social history, memories and experiences. It is therefore imperative that such a study be undertaken, if insight into the means of collecting, preserving and making available the documentary heritage of such communities – including that of the Portuguese community – is to be achieved.

Furthermore, comprehensive modern-day research and literature on the Portuguese community in general is minimal. The researcher therefore feels that it is necessary to undertake this study in an attempt to contribute to the academic research that bears relevance to the community, thereby bridging the gap in knowledge of a people who have greatly contributed to the make-up of present-day South African society, or as indicated by Van Graan (1988:60):

“A great deal is to be learnt from the hard working Portuguese South Africans, many of whom have weathered hardship and sorrow, to make a fine contribution to the South African community, the full extent of which needs to be researched and recorded”.

In the same vein, Glaser (2010:61) points out that South Africans of Portuguese descent are a remarkably under-researched population, referring to this phenomenon as a ‘large historiographical gap’. Glaser (2010) goes on to explain that studies on an immigrant group such as the Portuguese community not only provide a contribution to that group, but may contribute towards immigrant and social studies in general. These studies may include

analysis of these groups, their arrivals, their adaptation and contribution to their host country, their home life, and the social, economic and political problems they faced.

These studies may also give insight into the development of the country's legal and social attitudes, such as xenophobia and tolerance, towards immigrant and other minority groups. They could complement comparative studies especially in South Africa, that reflect host population attitudes towards different types of immigrant communities, for example, black as opposed to white immigrants, Catholic, protestant and other religious, linguistic and ethnic groups. However, research studies on these issues may only be possible or facilitated by easier access to the archival records generated by these communities. Therefore, the collection and preservation of records of these immigrant groups, including that of the Portuguese community – as proposed by this study – would be an appropriate means of facilitating access to these community histories and experiences.

### **1.9 Delimitation of the study**

Within the broader context of developing community archival collections and documenting under-documented groups, this study is limited to investigating the collection and preservation of archival records emanating from the South African Portuguese community and their community-based organisations in particular, as a means of preserving their contemporary social history and experiences. Although the study focuses on this specific community solely, and only the organisational records that represent their modern-day history, this is by no means an underestimation of the significance of other potential archival sources of the community, such as personal papers of community individuals. Nor is it an attempt to undermine the importance of documenting other underrepresented groups in South Africa, defined by nationality, locality, language, ethnicity, gender, sexual orientation, or any other facet. In fact, it is hoped that this study will stimulate research and debate relating to the importance and the best ways of developing collections of other communities that make up South African society. It is also the intention that the findings of this study may be applied to other communities in South Africa which have

equally seen their experiences underrepresented in the archival heritage of this country.

The decision to focus on this community was one directed by practical considerations. First, the choice of the Portuguese community for this study was based on the researcher's easier acceptance into accessing relevant information from the community, as a community member himself, having command of the Portuguese language and background knowledge of the community's structures and culture. In addition, it was based also on the large numbers of Portuguese South Africans and the longstanding presence of this community in the country.

Geographically, the empirical study is limited to the Gauteng area. Apart from the fact that the researcher is located in Gauteng, this province has the largest Portuguese community in South Africa, and has an array of social and cultural community-based organisations representing them, which lend themselves to the investigation, such as the *Federacao das Associacoes Portuguesas na Africa do Sul* (Johannesburg), *Casa Social da Madeira* (Pretoria), *O Seculo* (Johannesburg), *Academia do Bacalhau* (Pretoria), *Nucleo de Arte e Cultura* (Johannesburg), and the Portuguese Welfare Society (Johannesburg), amongst many others.

### **1.10 Key theoretical concepts**

The following core concepts relevant to the study are briefly defined in this section to ensure that they are understood in the context of this study. These, and other key terms, will be examined in more detail in the chapters that review the literature relating to these concepts:

**Archives:** According to Pearce-Moses (2005), and for the purposes of this study, the following definition is used: "Archives are those records that were created and received by a person, a family, or organisation, public or private, in the conduct of their affairs and preserved because of the enduring value contained in the information they hold, or as evidence of the functions and responsibilities of their creator."

Archives may include records of an individual or of an organisation. The archives examined for this study are those held by South Africa's Portuguese community-based organisations in Gauteng, and include letters, photographs, emails, financial records, memorandums, administrative files or any other records created and received by these organisations regardless of media or format.

**Community:** WordNet (2005) provides the following simplistic definition of the term 'communities': "a group of people having ethnic or cultural or religious characteristics in common". However, the concept of community is not that simple and is rather ambiguous and difficult to define. Although the idea of what a community is, is generally 'understood', it is not easily articulated. Furthermore, different disciplines, including the disciplines of history, sociology, anthropology, and religious studies, have different views on what a community is. These views could be along the lines of a cultural dimension of community or a social dimension. For example, political theorists see community primarily as a political entity, while urban planners see it as a locality and, more recently in the online environment, community may be seen as a virtual space. Mulwa (2003:202) goes as far as suggesting that to define the concept of community is futile and unrealistic, because it is an elusive concept that defies definition, "... as it can have different meanings in different places and circumstances".

Flinn (2007:153) also points this out by stating that definitions of what a 'community' might be, are not necessarily clear. Definitions of 'a community' are, of course, particularly complex and fluid and capable of many interpretations. Some definitions focus on locality, others on notions of shared beliefs or shared values producing a common purpose. Flinn (2007:154) therefore suggests that for practical reasons he prefers a broader and more explicit definition by referring to a community as a group who define themselves on the basis of locality, culture, faith, background, or other shared identity or interest. Many communities tend to have a local focus, but others have another shared focus altogether such as sexuality, occupation, ethnicity, faith, or an interest, or a combination of one or more of the above. The

existence of shared norms and values is a critical criterion of community formation. A community would usually share a common bond, be it geographical (or residential), or social (such as religious, cultural or linguistic affiliation), amongst others.

It is also important to try to define community – and to understand its significance – as it relates to archival needs and concerns. This is best expressed by Ketelaar (cited in McKemmish et al, 2005:147):

“Collective identity is based on the elective processes of memory, so that a given group recognises itself through its memory of a common past. A community is a ‘community of memory’. The common past is not merely genealogical or traditional, something which one can take or leave. It is more: a moral imperative for one’s belonging to a community. The common past, sustained through time into the present, is what gives continuity, cohesion and coherence to the community. To be a community, family, a religious community, a profession involves an embeddedness in its past and, consequently, in the memory texts through which that past is mediated”.

Another important issue surrounding the definition of community is that of identity. Discussions on community often highlight its close connection to identity. However, both community and community identity are widely accepted as not static and, as such, community identity does not perpetuate itself throughout history, past and present, in a fixed, concrete or static way. Rather, individual and group identities are fluid and people often have multiple identities, for example, belonging to or having a specific national and ethnic identity, a religious affiliation and a professional identity simultaneously.

**Community archives:** Similarly, definitions of what a ‘community archives’ are, are not always fixed or clear. Flinn (2007:155) therefore argues that one should not get too distracted by a ‘definitional exactitude’ of this concept. Rather, he recommends that a community archive be seen as any collection or initiative that documents and preserves the traces of any group or locality, regardless of where those records are kept or preserved. These may be kept within community structures, at mainstream institutions, or in partnership.

Community archives often go under a number of different names, and are not new developments, such as community heritage projects, an ethnic archive collection, local history endeavours, and oral history projects.

**Community-based archives and other archival collecting initiatives of a community:** It is important to make a distinction between the different types of community archives and the various approaches to archival collecting initiatives that are most often established for a community. These may include those that are borne within the community, situated within its own community structures and managed by it independently. These are often referred to as independent community-based archives. On the other hand, there are those collecting initiatives that are established by mainstream institutions, which acquire and transfer records created by a community to the mainstream collecting institutions, where they are managed, preserved and made accessible. These initiatives tend to be affiliated to institutions such as a national archive or a special university collection.

Finally, there are also archival collecting initiatives of communities that adopt a collaborative approach to the management and preservation of these records. These endeavours normally include partnerships between the community and a mainstream institution, where the skills and knowledge of each are garnered in order to sustain and enhance the collecting initiative.

Flinn (2011:7-8) also acknowledges these different approaches by explaining that, although the focus of archival collecting initiatives of communities has often been that of keeping physical custody of records within community structures, the focus also includes endeavours where intellectual ownership of the collections is retained by the community, but physical custody of the records may be transferred to a mainstream institution. Other approaches also include complete intellectual and physical donation of these records to a mainstream institution, a distributed approach to preserving these records, or partnerships between the community and the formal heritage institutions for mutual support, advice and professional expertise.

For the purposes of this study, when seeking strategies for collecting, managing and preserving the records generated by the Portuguese community-based organisations in South Africa, all these approaches are considered so as to determine the best possible framework for a collection plan of the community.

**Community-based organisations:** According to Mulwa (2003:204), community-based organisations fall under the grouping often referred to as civil society organisations, which also include non-governmental organisations (NGOs), trade unions, associations, lobby movements, clan groups, women's and youth groups, religiously based groups, welfare societies, and the like. The author goes on to explain that "community based organisations are voluntary associations where people organise together in order to mobilise the potential of their collective power". These community organisations may be seen as popular organisations where people act jointly, as members of groups or communities, to decide and act on issues which can best be solved through their collective action. The common characteristic of these organisations is that members voluntarily come together to work for a common goal.

For this study, the Portuguese community-based organisations in South Africa, specifically those in Gauteng, are examined.

**Cultural diversity:** Cultural diversity refers to the complex composition of a society. According to Diller (2007:4-5), it acknowledges that society is made up of interest groups which are often distinct, while holding a general commonality. These distinct groups may include ethnic or cultural communities, immigrant communities, religious groups, and linguistic groups, amongst others.

In South Africa, because of its past racial and ethnic segregation supported by apartheid legislation, cultural diversity is a contentious issue. This is noted by the heritage research report by the Human Sciences Research Council (HSRC) by Deacon, Mngqolo and Prosalendis (2003:4), which recommends that cultural diversity as a concept should be used to challenge the idea that cultural identities are primordial and are related to older racial or ethnic



designations. The report further argues that this is especially important in South Africa where we have a history of 'ethnicised' cultural identities. The report therefore suggests that, if the concept is understood as a means to learning more and respecting one another's cultures, and not as means of dividing cultures, cultural diversity can become a resource of great social value, and may even enhance both social cohesion and development.

Furthermore, Lubisi (2001:2) notes that, because of the geographic location (Great Britain, Australia and North America) of leading authors on subjects such as cultural diversity and documenting under-documented groups, the dominant culture often corresponds to the culture of the majority of citizens, while the marginal cultures – which demand representation – are often the cultures of minorities. For this reason, these issues abroad usually refer to the promotion of the rights of minority groups. In South Africa, on the other hand, while certain minority groups have been protected and promoted in the past, the majority cultures have often been marginalised. This is pointed out by Beukman (2000:138) who notes that the protection of minorities in an international context refers to environments where the majority discriminates against minorities. As a result, international perspectives need to be carefully analysed before being translocated to a South African environment.

Kaplan (2000:148-150) also cautions against having an 'essentialist outlook' on cultural diversity and community identities, such as ethnic and immigrant identity. She argues that identity is not cast in stone. Individuals have multiple, fluid identities. The danger lies in the 'reification' of cultural identities which may lead to the belief that one's cultural identity is nearly a biological, unchangeable state of being. This could produce an 'us' versus 'other/them' perception of cultural groups in a society, instead of producing a more integrated or cohesive society.

**Ethnicity and ethnic communities:** The website of the Centre for Evidence in Ethnicity (2011) maintains that the concept of ethnicity is subjective and complex. It recognises that people identify themselves with a social grouping on cultural grounds, including language, lifestyle, religion, food and origins. The basis of ethnicity is therefore often a tradition of common descent or

intermarriage and shared culture or history. According to the centre, it is important to recognise that, in a world of migration and mixing, ethnicity is dynamic rather than fixed.

In countries such as Australia, Canada and the USA, when referring to ethnic communities, often immigrant or minority communities are implied.

**Ethnic archives:** Several difficulties stand in the way of defining the term 'ethnic archives', especially because of the subjective nature of defining ethnicity. However, Neutel (1978:105) argues that the term has gained popularity in certain countries in spite of its ambiguity because "few other terms have the merit of being so descriptive and brief". Neutel provides a workable definition of the concept by saying that an ethnic archive "is one that acquires materials that have a bearing on the experience of the ethnic group". He continues by explaining that ethnic archives are the records that are created by organisations or persons identifying or identified with the ethnic group, and whose activities in whole or in part reflect actions of an ethnic character, regardless of where those records are kept or preserved.

Although the term 'ethnic' is widely used internationally when discussing archives of specific groups in a multicultural or diverse setting, the term 'communities', and 'community archives', is preferred in South Africa (Beukman, 2000:32).

**Records:** The International Organisation for Standardisation (ISO 15489, 2001) defines a *record* as information in any medium created, received, and maintained as evidence by an organisation or person, in pursuance of legal obligations or in the transaction of business.

Records are created and received by organisations for the purpose of their work as products of immediate interest and they support the activities of their creators. Records are therefore products, and serve as evidence, of the activities carried out by an organisation.

For this study the records generated by organisations - or to be more exact - those created and kept by the Portuguese community-based organisations in South Africa which serve as evidence of their activities, are examined.

**Records management:** Records management is the “... field of management responsible for the systematic control of the creation, maintenance, use, reproduction and disposal of records” (Bellardo, 1992). Controlling records throughout their life cycle – from their creation up until their destruction or permanent preservation – is the basis for records management. Therefore, records management is a term used to refer to the way records are cared for, so that they can be used continuously by users such as employees of an organisation, legal authorities, researchers, communities and the public in general.

For this study the records management practices of the Portuguese community-based organisation in South Africa are investigated in the empirical part of this research, as these practices have a direct impact on the records that may be available for any proposed archival collecting plan of the community.

**Social or collective memory:** Social or collective memory have been given multiple meanings over the years. The two terms are often seen as one, but at times blurry distinctions are made between the two. To complicate matters, terms such as public memory, popular memory, historical memory and collective remembrance, amongst others are also used interchangeably with these (Josias, 2011:96).

Most studies of social or collective memory are influenced by Maurice Halbachs, who argues that “personal memories are invoked within social frameworks such as language, the family, religious group, and social class. A dynamic relationship between individual and collective memory is therefore being propagated” (cited in Josias, 2011:99). Zerubavel (1996:293) adds that social memory “involves the integration of various different personal pasts in to a single common past that all members of a particular community come to remember collectively”. Zerubavel also notes that social memory is not static,

but rather always being constructed and re-constructed. It is this and other aspects of the concept which have made some sceptical of it. Historians are sometimes dismissive of social memory, because of its 'fluid' nature and its emphasis on 'continuity' as opposed to history's more 'fixed' nature. Others have been more open to a more complex relationship between the two, acknowledging that history - social memory relationship can be complementary (Zelizer, 1995:216).

Similarly, there have also been tensions regarding the role of social memory in archives. Archives have traditionally been perceived as institutions that collect the authoritative records of the state and records of national significance. However, with the postmodern discourse that has entered the archival world, the opportunities that social memory offer as a complement or as an alternative – especially in representing the experiences of less prominent groups in societies – has become increasingly acknowledged (Josias, 2011:102).

Social memory is also intricately linked to social history, and in the literature reviewed these concepts are often used interchangeably. However, definitions of social history and its significance to archives and the under-documented are examined in detail in chapter three.

**South African Portuguese community:** If we are to apply the above definition by Flinn (2007) for 'communities', the Portuguese community in South Africa may be seen as a group which defines itself on the basis of some or a combination of the following: locality, culture, faith, background, and other shared identity and interests. Individuals who see themselves, or are identified as being South African Portuguese, may do so because of one or more of the following reasons: a common language, lifestyle, religion, food, a common descent or origin, or shared experiences, culture or history. Often shared negative experiences such as those associated with being an immigrant and the object of discrimination, and 'not fitting in' are also factors that contribute towards a 'community identity'. As noted in the definition of 'community' above, community identity is not cast in stone. It is fluid and

multifaceted. This also applies to the South African Portuguese community that has changed over the years and continues to be re-defined.

For practical purposes of this study, the South African Portuguese community will be referred to as peoples who originate directly from the Republic of Portugal and their descendants, and who identify themselves as such. The Portuguese community-based organisations that are the object of this study are therefore defined as those that represent or have been established by these peoples in South Africa.

This study does not include peoples or organisations from other Portuguese-speaking independent nations, such as Mozambican nationals or any other nationals from Portuguese-speaking countries such as Brazil, that have emigrated to South Africa. Other than for practical reasons, the motivation for this exclusion was also based on the unique identities of each of these national communities, and on the fact that in some cases these communities have their own organisations that create records which are relevant to their particular activities and experiences in South Africa. For example, the Mozambican community organisation, *Associação dos Residentes de Mocambique*.

It is important to note, however, that this study does include Portuguese nationals that immigrated to South Africa from the former Portuguese colonies (such as Mozambique and Angola) while these were still part of Portugal, as these individuals were considered Portuguese citizens at the time.

**Under-documented communities:** McDonald (2008:3) explains that, when speaking of under-documented communities, one is referring to groups, populations or communities who have been marginalised or underrepresented within the context of the archival or documentary national heritage of a society. Documenting these communities refers to ways of establishing and collecting alternative historical narratives that may challenge or complement the one constructed by the mainstream or dominant cultures, communities, organisations or individuals.

Some of the above key terms and several additional concepts, such as postmodernism and social history, are discussed in further detail in chapter three of this study.

### **1.11 Outline of research methodology**

The aim of this section is to briefly discuss the research methodology chosen for this study and the reasons for this choice. The research design, the means of data collection and the research population are also concisely explained.

#### **1.11.1 Choice of methodology**

According to Bless and Higson-Smith (2000:63), research methodology is the specification of the most adequate operations to be performed in order to achieve the goals set out in the research objectives. There are various research methodologies. Bailey (1982:33) maintains that research methodologies range from qualitative (reporting observations in natural language with less use of numbers) to quantitative (assigning numbers to observations). To achieve its aim and to find the answer to the research question for this study, this project uses a qualitative research methodology. The need to explore the attitudes and opinions of those individuals involved in organisations that may contribute towards the development of a South African Portuguese archival heritage, and to arrive at some understanding of the factors determining those perspectives, led to the adoption of a qualitative approach. The appropriateness of a qualitative approach for this study was also directed by the fact that the research problem to be studied is a phenomenon that cannot be quantified since it is complex and social in nature (Powell & Connaway, 2004:59). Further details on the choice of methodology are given in chapter 5, section 5.4.1.

#### **1.11.2 Research design**

Within the qualitative paradigm, the research approach adopted for the empirical investigation was by means of a basic interpretive qualitative research strategy. Merriam (2002:6) states that a basic interpretive qualitative study – also referred to as generic interpretive – is probably the most common form of qualitative applied research found in the social sciences. The basic interpretive qualitative study stems from the broader epistemological view of

anti-positivism or interpretivism – within which this study is situated (discussed in section 5.4.1) – and is used when the goal of the researcher is to understand how participants make meaning of a situation or a phenomenon.

In conducting a basic interpretive qualitative study, the researcher seeks to discover and understand the phenomenon, the process, the perspectives and views of the people involved, or a combination of these. Basic interpretive qualitative research studies can be found throughout the disciplines and in the applied fields of practice. Data are collected through interviews, observations or document analysis. The analysis of data involves identifying and interpreting themes that characterise the data. The overall interpretation will be the researcher's understanding of the participants' understanding of the phenomenon of interest (Merriam, 2009:23-24).

This design was seen as the most appropriate since the empirical investigation of this study was primarily interested in how meaning is constructed by the research participants. That is how people make sense of their experiences and their worlds; more precisely, their perceptions of the records created by their organisations and their attitudes towards the final disposition and custody of these.

### **1.11.3 Population and sampling**

A combination of purposive sampling and reliance on available subjects was used when selecting participants in this study. A purposive sampling technique was used to find the best fit for the study, considering the relatively small number of participants planned (Babbie, 2004:183). Samples for qualitative investigations tend to be small and an appropriate sample size is one that adequately answers the research questions. A small sample also enables the researcher to study the phenomena in depth (Marshall, 1996:523).

The main population was the South African Portuguese social and cultural community-based organisations in Gauteng that create and keep records representing their activities and, as such, are the major potential creators of archival materials that may reflect the experiences of the broader Portuguese

community in South Africa, and the Gauteng Province specifically. These organisations were located by means of on-line directories and resources such as the *Portal das Comunidades Portugueses – Africa do Sul* ([www.consuladovirtual.pt](http://www.consuladovirtual.pt)), *E Pa* ([www.saweb.co.za/epa](http://www.saweb.co.za/epa)) and *Forum Portugues* ([www.portugueseforum.org.za](http://www.portugueseforum.org.za)), community newspapers such as *O Seculo* and *Voz Portuguesa*, and personal contacts.

A selected individual from each of these organisations, namely the director/president/chairperson of the organisation was interviewed. Each organisation selected was identified as a separate unit of analysis.

#### **1.11.4 Semi-structured interviews**

There are various methods of gathering evidence. These may include documents, questionnaires, observation and interviews (Rowley, 2002:17). For this study, qualitative semi-structured interviews were used to gather data from the main participants of the study, namely the Portuguese community-based organisations in Gauteng which generate records of their activities and therefore, may hold potential archival materials. In this type of interview, the respondent is interviewed for a brief or limited period of time. The interviews are open-ended and take on a conversational style. The interviewer follows a certain set of questions guided by a protocol. These qualitative interviews are most useful for research involving people's opinions and practices (Babbie, 2004:300).

The interviews were therefore conducted to understand the practices, attitudes, and opinions of these individuals representing these organisations, regarding the records created by them; and to determine what is done – and should be done, or rather what can be done to preserve and make these records part of the archival heritage of South Africa, and accessible to the Portuguese community and to South Africans in general.

#### **1.11.5 Interviews with National Archivist of South Africa and three South African universities**

Unstructured interviews (face-to-face contact) were also held with the National Archivist of South Africa, and four South African universities in Gauteng



(telephone discussions). Berg (1998:61) explains that unstructured interviews are often used during the course of research to gain additional information on the issue at hand.

Since the National Archives is the main role player in the South African archival heritage field, and since a number of respondents indicated that they would consider transferring their records to a mainstream institution such as a university, the researcher deemed it necessary to obtain additional views from these institutions on their willingness or capability to accommodate the records of these community-based organisations. The South African universities interviewed were the University of Johannesburg (UJ), the University of Pretoria (UP), the University of South Africa (UNISA), and the University of the Witwatersrand (WITS). The director of the National Archives and the directors of the archives or special collections departments of these South African universities were identified as the respondents for these unstructured interviews.

The research methodology of the empirical component of this study, including the research design, the population and sampling, is discussed in detail in chapter five on Research Methodology.

#### **1.11.6 Study of the literature and website content analysis**

Apart from the empirical investigations, in order to carry out the research, a literature survey and a website analysis of existing initiatives involved in documenting the under-documented were also vital for this study.

According to Leedy (1989:66), the literature search serves many purposes. These include broadening the researcher's horizons, preventing him from reinventing the wheel, and establishing the need for the research. The review of the literature revealed that extensive research has been conducted abroad in the field of documenting underrepresented groups and establishing community archival collections, in countries such as the United States, the United Kingdom, Canada and Australia. Furthermore, the international literature reports on many examples of existing community archives and projects to document underrepresented groups.

A review of South African national literature, on the other hand, revealed only some exploratory research into the need to fill the gaps in archival and other collections of groups that were marginalised in this country's documentary heritage, particularly due to apartheid. These studies are mainly in the form of short articles that alert readers to such a problem and mention the need to document these groups. The need for a research study in the South African environment, in a more in-depth and larger scale – such as the present study – was, therefore, supported by the above review.

Chapters 2 and 3 of this study give a detailed review of local and international literature.

In addition, the research for this study also consisted of an analysis of relevant websites of organisations involved in documenting the under-documented in South Africa and abroad. This was done in order to assess examples of national and international initiatives that have been undertaken in South Africa and abroad to develop collections of underrepresented communities, especially those that use community-based organisational records as a means to safeguard the history of these communities. These websites were examined to determine best practice in documenting under-documented communities, community archiving and related practices.

The review of these websites is elaborated on in chapter 4 of this thesis.

### **1.12 Outline of chapters**

The thesis comprises of eight chapters. The presentation that follows gives an outline of the issues presented in each chapter:

Chapter 1: General introduction

Chapter 1 is an overview of the study, comprising the main research question and the purpose and objectives of the study. The significance of the study is also pointed out and the key concepts used in the study are briefly defined. The research methodology is also briefly explained. The Chapter also presents outline of thesis chapters.

## Chapter 2: Socio-historical context of the study: the Portuguese in South Africa

In this chapter there is a concise history of the South African Portuguese community, as well as an account of their current presence in South Africa.

## Chapter 3: Theory and research literature on documenting under-documented communities and related concepts and practices

This chapter provides a theoretical framework for the study which underlines the importance of having a representative archival heritage and the need to document under-documented communities, such as the Portuguese community. This is supported by a review of relevant national and international literature, which analyses the issues relevant to under-documented communities, community archiving and related concepts and practices.

## Chapter 4: Examples of endeavours to document underrepresented communities, community archiving and related initiatives

This chapter is an assessment of initiatives that have been undertaken in South Africa and abroad to develop collections of under-documented communities and community archives, especially those that include community-based organisational records.

## Chapter 5: Research methodology

Chapter 5 is a review of the research methodology followed in the study. This includes an explanation of the research approach, the research methods employed, the means of data collection, the research population and the analysis of responses to the data collection.

## Chapter 6: Presentation and analysis of the results of the study

Chapter 6 presents and analyses the results of the interviews with the representatives from the South African Portuguese community organisations. These include the opinions, attitudes and experiences of the respondents regarding the management, disposal and custody of their records.

## Chapter 7: Interpretation and discussion of the results

In this chapter the themes and patterns around the study's research objectives that were realised in the data reported in chapter 6, are interpreted and discussed through integration and synthesis.

Chapter 8: Summary, conclusions and recommendations

Chapter 8 presents a number of recommendations, including a proposed framework for developing collections of the Portuguese community, which may serve as a model for other under-documented groups in South Africa. Further research possibilities are also suggested.

References and appendices

### **1.13 Summary of chapter one**

Chapter 1 was an introduction to the study as well as a motivation for the study. The problem statement, the research questions and the objectives of the study were provided. A brief description of concepts frequently used in this thesis in order to avoid misinterpretation, was also given. The research methodology was also concisely explained in this chapter. This included clarifying the research design and the data-collection methods which were employed. The chapter concluded with an overview of the chapters contained in the thesis.

## CHAPTER TWO: SOCIO-HISTORICAL CONTEXT OF THE STUDY

### THE PORTUGUESE IN SOUTH AFRICA

#### 2.1 Introduction

As the purpose of this study is not that of a historical investigation of the Portuguese community in South Africa, an in-depth narrative of the history of the community thus does not fall within the scope of this research and will therefore not be given. However, in order to provide a socio-historical context for the study, this chapter presents a short survey of the history of the Portuguese community in South Africa, as well as an account of their current presence in South African society. Information on South Africa's Portuguese community-based organisations is also given.

Before providing a basic narrative of the history of the Portuguese in South Africa, it is important to point out here that historical research on the Portuguese community is very limited, particularly contemporary history on the community since the early twentieth century. This is appreciated by Glaser (2010) as well. The author states that there is surprisingly little recognition of the existence of the Portuguese in South African contemporary historiography. "While a great deal has been written about earlier Portuguese involvement with the subcontinent dating back as far as the fifteenth century 'discoveries' – to my mind much more significant migrations of the twentieth century have largely been overlooked" (Glaser, 2010:62).

The researcher was therefore dependant on a few sources, such as Ferreira and Le Roux (2009), Glaser (2010), Leal (1977), McDuling (1995), Pereira (2000), Pina (2001), Theal (1896), and Van Graan (1988) when exploring the modern-day history of the community. For instance, the main body of OJO Ferreira's work of the past 10 years covers the theme of the contacts between South Africa and Portugal. Ferreira's work in this field is seen as a continuation of the work of the historian Eric Axelson (1913-1998) on the history of Portugal in Africa. However, although these authors have written extensively on the Portuguese in South Africa, even their works tend to focus on earlier times and the history of prominent Portuguese people during these

past periods. For example, Ferreira's writings include works such as *Stranding van die São João, 1552-1553 (The stranding of the São João, 1552-1553)*, the history of the relations and exchanges between the Portuguese and South Africa from 1488 (Ferreira, 2002; 2005), and accounts of Camoes's mythical Portuguese legends of the Adamastor during the "Age of Exploration" (Ferreira, 1995).

General books on the history of South Africa and Portugal, such as Birmingham's (1993) and Saraiva's (1989) broad writings on the history of Portugal, and Beck's (2000), Ross's (1999) and Thompson's (1996) texts on the history of South Africa – again although mentioning the Portuguese people in South Africa – also have a tendency to concentrate on the chronicles of the Portuguese in South Africa during the 'age of exploration' or on the history of the ex-Portuguese colonies, such as Angola and Mozambique and their political relations with South Africa.

Glaser (2010:80) does acknowledge that this is part of a wider issue though. He argues that within South Africa there is a well-developed literature on what he refers to as 'regional migrant labour'. However, South African literature on contemporary 'transcontinental immigration', though growing, is less developed. The South African Jewish and Indian communities probably have the richest transcontinental immigrant community historiography. However, enormous gaps remain. Glaser (2010:81) therefore recommends that, by "using whatever materials available, it could be a fruitful exercise to compare and contrast the experiences of these groups. A study of Portuguese immigration would add enormous depth to this kind of comparative exercise". The researcher supports Glaser's recommendation and also realises that the latter study and others on the community, would without doubt be more feasible with access to community records that are well managed, well preserved and easy to locate – the very purpose of this study.

Glaser (2010:61) goes on to say that historians in post-apartheid South Africa are searching for 'smaller stories' as opposed to the previous powerful all-embracing apartheid historical narrative. He further pointed out that, although "many of these smaller stories were trampled in the earlier stampede of

political relevance”, in their own way they help to make sense of a complicated post-apartheid South Africa. “Rather than agonising over heterogeneity, or lack of solidarity, historians now evince a greater comfort with the diversity of experience”. Glaser (2010:61-62) also points out another significant reality. He explains that it is important to be reminded that the story of mass migration in South Africa is not exclusive to black societies. Urban South Africa in particular is an extraordinary melting pot of immigrants from very diverse backgrounds. “If we scratch away a few generations, nearly all urban residents are migrants of one sort or another”. The Portuguese of South Africa represent a noticeable example of this migratory flow.

## **2.2 History of the Portuguese in South Africa**

The presence of the Portuguese in South Africa has been a reality since the end of the 15th century (Leal, 1977:1). Portuguese sailors were the first Europeans to have contact with the inhabitants of the Cape. Since then their presence here has been uninterrupted, and from that time to the present day, the Portuguese have made their mark on South African society by numerous contributions, in all spheres of South African society, including commerce, law, education and medicine (Groenewald 1979; Boshoff 1988; Van Graan 1988; Bearzi 1988; & Glaser 2010).

### **2.2.1 Initial contacts of the Portuguese with South Africa (end of the 15th until the 16th centuries)**

There were different reasons and conditions for the arrival and presence of the Portuguese in South Africa. Although the Portuguese were the first to sail around the southern part of Africa, they did not establish any settlements here. Initially, during the ‘age of exploration’, Portuguese sailors who arrived here had as their main intention, not to settle or to colonise, but to sail on to India for trade. Leal (1977:3-4) confirms that the first contacts of the Portuguese with South Africa started with the expedition of Diogo Cao in 1485 and Bartolomeu Dias, when the latter rounded the Cape of Storms in 1488. He also notes that, according to the records of Dias, they went ashore at Mossel Bay on 3 February 1488. He named the area *Aguada de Sao Bras*, ‘watering place of Saint Blaize’, having arrived on the holy day of St Blaize and collecting water from a spring there. He also erected the padrao, Dias

Cross, near the Great Fish River. It was the Portuguese custom that a *padrao* be erected at places where they went ashore as part of a 'land claim'. The *padrao* was a large stone cross inscribed with the Portuguese coat of arms. On his return voyage, Dias saw the Cape and called it *Cabo das Tormentas* (Cape of Storms). It was later renamed *Cabo da Boa Esperanca* (Cape of Good Hope), by King Joao II when Dias returned to Lisbon in December 1488 (Leal, 1977:3-4).

In 1497, Vasco da Gama also went past the Cape on his way to India. On 26 November 1497 da Gama visited the Aguada de Sao Bras and bartered for cattle with goods from the Khoikhoi, making this, presumably, the first commercial contact between Europeans and indigenous people of South Africa. They also built a small chapel there (the first Christian church on South African soil). In December, having sailed further on, da Gama went ashore on the east coast and, as it was Christmas day, he named the area Terra do Natal (Land of Christmas). Da Gama met the first indigenous people near the Limpopo. According to records kept by him, these people were friendly towards them and he therefore named the area *Terra de Boa Gente* (Land of Good People). Da Gama and his crew reached India in May, becoming the first Europeans to journey by sea to India (Leal, 1977:4-5).

In 1500 Pedro de Ataide and his fleet, which made the second voyage round the Cape to India, sought safety in Mossel Bay from a storm which destroyed part of the fleet. The first letter posted in South Africa was deposited in a shoe hung on a milkwood tree in the bay. The letter described the disaster that had befallen the fleet and warned the following fleets of the unsafe seas. This tree is considered the first 'post office' in South Africa. It was declared a national monument on 30 September 1939. In 1962 a post box, in the shape of a shoe, was erected there.

Thereafter a number of sailors and their fleets sailed around the Cape, these included Joao da Nova in 1501, Antonio de Saldanha in 1503, and Fransisco de Almeida in 1510. Contact with indigenous populations, especially in the form of bartering took place between these fleets and the Khoikhoi. However, according to Leal (1977:6-7), the Portuguese decided not to establish a



permanent watering post or base on the coast of South Africa for various reasons. This included unfavourable weather conditions which caused many shipwrecks, the threat of possible conflict with the indigenous Khoikhoi at the time, and apart from Saldanha Bay, the lack of natural harbours. As their primary mission was to get to India, they needed a post to replenish, to collect basic needs such as fresh water. They therefore opted instead to make their stops at Mozambique Island, as this was considered a safer option.

The Portuguese would then only stop on the coast of South Africa if it were extremely necessary, especially as a result of being shipwrecked. Most of the ships were wrecked in winter, usually because they left India too late on the voyage back home (and because they were often overloaded). Survivors would salvage what they could from the wreck, and try to go north towards Portuguese trading posts on the East Coast of Africa. However, some of these Portuguese who were shipwrecked here also settled in South Africa (McDuling, 1995:6). The few Portuguese who decided to stay were mainly sailors. Subsequent parties of shipwreck survivors would occasionally come across them. According to Pereira (2000:31), “The reports of the Portuguese (shipwreck) survivors were important in that they provided the first written records on the fauna, flora and indigenous people of Southern Africa.”

During this period, among the biggest marks the Portuguese would leave on South Africa, were geographical place names, such as Cape Agulhas, St Lucia, St Helena, Cape Recife, Algoa Bay, Saldanha Bay and Natal.

### **2.2.2 The 17th century until the end of the 19th century**

By the 17th century the decline of Portuguese control of the Cape region was evident. Already during the middle of the 16th century, the French and the English started their voyages down the African coast, challenging the power of the Portuguese colonial empire and its maritime monopoly. Besides the French and the English, another European nation was also destined to contribute towards the decline of the Portuguese presence in the Cape, namely the Dutch. During the late 1500s and the early 1600s, the Dutch became active in maritime exploration especially towards the East. Subsequently, in 1602 they established the Dutch East India Company. This

company had as its goal to control commerce and navigations to the East of the Cape. By 1652 Holland had occupied the Cape and established a watering post that would replenish Dutch ships on their way to India. These developments contributed towards a sharp decline in the number of Portuguese ships stopping in South Africa (Leal, 1977:7-10).

However, there was still an inflow of Portuguese speaking slaves to the Cape during the middle of the 17th century. These slaves spoke a form of creole-Portuguese, that is, Malay-Portuguese (McDuling, 1995:1). This Malay-Portuguese was a type of lingua franca used by slaves, who were introduced to the Cape from the East. Other forms of creole-Portuguese, from slaves captured by the Dutch from Portuguese ships originating from the Portuguese colonies of Angola, Guinea and Mozambique were also spoken at the time in the Cape. We can therefore assume that the first large numbers of Portuguese-speaking peoples that settled permanently in South Africa were these slaves.

During this period there were also a few Portuguese that came to the Cape and settled there. Prominent figures that have been documented include Ignacio Leopold Ferreira and Manuel Joao de Oliveira (McDuling, 1995:6). Ferreira arrived in the Cape in 1722. Afterwards he married a Martha Terblans, converted from Catholicism and became a Protestant. The Ferrerias had a large influence on the genealogy of the Afrikaans community. His family and descendants settled in the Eastern Cape, and married Afrikaans families. Subsequently they became very involved in the Afrikaans community and its history. For example, Joachim Johannes Ferreira was a founder member of the *Klein Vrystaat* in 1877, while Ignatius Philip Ferreira played a role in the discovery of gold on the Witwatersrand. Ferreira Town is named after him.

In addition, some Portuguese also ended up settling unintentionally in the Cape during the period of Dutch occupation of the region as shipwrecks continued off the Cape coast. For example, some of the Portuguese survivors of the shipwreck of the *Nossa Senhora dos Milagres* requested to enter the service of the Dutch East India Company and to stay on in the Cape.

The history of the Portuguese in South Africa during the 19th century is also inextricably linked to the Boer Republics (Leal, 1977:22). The Boers were seeking a route to a port that would allow them to export their products, and they were aware of the fact that this access would contribute to a sustained independence from the British. In seeking to achieve this they started negotiating with the Portuguese the possibility of using the Port of Lourenco Marques (Maputo), in Mozambique. This resulted in a few official visits of the Portuguese to the Transvaal Republic. Finally, in 1869 a treaty was signed which allowed the Transvaal Republic to freely use the Port of Lourenco Marques (Leal, 1977:25). A rail link was necessary to transport goods from the Transvaal to Lourenco Marques. In 1894 this rail link was inaugurated. The rail link also had another, unintended consequence. With easier access, a few Portuguese from Mozambique started moving to the Transvaal, where some of them set up small businesses.

Other documented accounts of visible Portuguese who settled in South Africa during this period include those referring to Joseph Suasso de Lima, Joao Albisini and Joachim Machado. Joseph Suasso de Lima was a Portuguese Jew from Amsterdam. He wrote the first history book at the Cape, initiated the first weekly newspaper, *De Verzamelaar* in 1826, and also served on the editorial staff of *Het Volksblad* (1853-1858). Joao Albisini played an important role in the contact between the Portuguese from Mozambique and the Voortrekkers. In 1858 he was appointed vice-consul of the Portuguese government. Joachim Machado was an engineer who assisted in the construction of a railway line from Pretoria to Maputo. Machadodorp is named after him.

Towards the end of the 1800s another Portuguese national who was brought up in South Africa, was Fernando Pessoa. Pessoa, on returning to Portugal as an adult, became one of the greatest Portuguese poets. It is widely acknowledged that his works were largely influenced by his South African experiences (Leal, 1977:30).

### **2.2.3 Portuguese immigration in the 20th Century**

Portugal is traditionally a country of emigrants. One could even argue that the waves of emigration that Portugal has experienced started during the age of exploration in the 1500s. Portuguese people have immigrated to all parts of the world, such as Brazil and the former Portuguese African colonies, the United States, Canada, Venezuela and France. However, Portuguese people only arrived in South Africa in large numbers from the 1920s onwards. Between the two world wars, many Portuguese settled in and around Johannesburg, where they opened small stores – mainly fruit and vegetable shops, and fish-and-chips outlets or take-aways. The largest influx, however, was from the 1950s. H F Verwoerd's plans for more whites in South Africa focused on Anglo-Saxon protestants in Europe, but the desired numbers did not come to South Africa. The focus then shifted to what was then considered to be less desirable immigrants from Mediterranean countries. Even into the late 20th century many of these immigrants were still referred to in derogatory terms by other white South Africans. Apart from language and cultural differences, being mostly of Roman Catholic background also made their acceptance into local communities more difficult (Pereira, 2000:34).

A large number of these immigrants came from the Portuguese Island of Madeira. According to Leal (1977:41) the main reason for these immigrants' coming to South Africa was economic. The island of Madeira has, until recently, been economically depressed. It has always been relatively densely populated with limited space for cultivation due to its volcanic terrain. Job opportunities in Madeira have also been limited. The island has therefore seen waves of emigration from its shores throughout the twentieth century. These immigrants that also came to South Africa were mostly peasants and labourers and often had a poor level of formal education. Many entered the country illegally as they did not comply with the then Act 22 of 1913, which stipulated that immigrants had to know how to read and write a European language. Due to their farming or rural background, many were illiterate and therefore became gardeners and fruit-store employees, or worked in construction.

However, after some time, many of these became owners of these businesses they initially worked for. They also took control of the fish market, a traditionally British activity, especially in Cape Town, where they opened big fisheries, such as the Lusitania Enterprise (Pereira, 2000:35). This made it easier for new Madeirans to enter South Africa because they could find employment in these businesses. However, for the largely unskilled and illiterate Madeirans, legal immigration was highly restrictive throughout the period from the 1930s to the 1970s. Only about 14000 of the approximately 108000 official Portuguese immigrants between 1940 and 1981 were from Madeira.

It was in this context that illegal entry became a central part of the Madeiran immigrant experience in South Africa (Glaser, 2010:67). The South African Police records document numerous Portuguese, mostly of Madeiran origin, who crossed into South Africa illegally in Cape Town or went on to Lourenco Marques and were smuggled across the border. Important to note as well, is that Madeiran immigrants, though classified white and entitled to the benefits of 'whiteness', were often darker skinned and occupied a space on the margins of white South Africa until well into the late 1970s (Glaser, 2010:68).

This is also highlighted by da Silva (2005) who, in his study of the Portuguese community in South Africa, mentions that often Madeirans lived in a 'paradox' benefitting from their racial classification status but at the same time being resented and disliked by the local populace, for example the terms 'porra' and 'sea kaffirs', which da Silva uses as part of the title of his dissertation, were used by some whites as a reference to the Portuguese in South Africa, and particularly to Madeirans. Studies also indicated that white South Africans considered the Portuguese as the least desirable neighbours to have in their suburbs even until the 1980s. Glaser goes on to say that like black migrant workers, they were vulnerable to deportation and lacked a sense of security or permanence. Even legal immigrants were relatively slow to seek formal citizenship. Communities were inwardly focused, spoke Portuguese among themselves, lived in insular 'ghettos' and clustered around local Catholic churches (Glaser, 2010:68). Glaser does however acknowledge that the

experiences of the second and third generation Madeirans have changed significantly, since they have become better educated, are often financially secure and substantially more integrated into South African society as a whole.

Another wave of Portuguese immigration that can be distinguished during the 20th century is that of the Portuguese who came from the mainland of Portugal between 1963 and 1971 (Glaser, 2010:69). Mainland Portugal in the 1960s was experiencing economic difficulties, with high unemployment rates especially outside the bigger towns and cities. South Africa's economy, on the other hand, was booming, and whites with skills had a range of opportunities. However, although the Portuguese who came from mainland Portugal had a higher level of education and skills than the Madeirans, they were still more likely to be artisans and skilled workers, while many British and German immigrants were more educated professionals. For instance, the mainland Portuguese stereotypically dominated bricklaying and boilermaking in Johannesburg.

Like the Madeirans, the newer Portuguese immigrants tended to cluster in particular neighbourhoods (the majority in the south of Johannesburg) where housing was relatively cheap. Such a large number of Portuguese were drawn to these southern suburbs such as Rosettenville, Troyville and La Rochelle, that they became known as 'little Lisbon' or 'little Portugal'. Often in these suburbs Portuguese residents could get by speaking only Portuguese, because stores, pharmacies, banks, schools, Catholic churches and social clubs were dominated by Portuguese speakers. Houses in these areas were often shared by extended family and communal lodging was very common. So, although conditions were substantially better than those in Portugal, these immigrants were far from affluent during the 1960 and 1970s (Glaser, 2010:70).

The final significant wave of immigration took place after Angola and Mozambique gained independence from Portugal in the 1970s. There was a large influx of Portuguese people into South Africa during and after this period. Estimates were that about 250000 Portuguese left Mozambique after

1974, either going back to Portugal or immigrating to South Africa. Leal (1977:40) notes that, unlike the economic motives for Madeiran emigration, the reasons for the Portuguese Mozambican emigration phenomenon at the time were the political changes taking place there. The South African government, which was sympathetic to refugees 'fleeing black rule', set up camps to absorb them. Local Portuguese organisations also assisted in their arrival and integration (Glaser, 2010:72).

Da Rosa and Trigo (1986) suggest that, after the initial trauma of transition, this more educated wave of immigrants moved into the upper levels of South Africa Portuguese society and helped change the image of the local Portuguese away from the farming, 'shopkeeper' and small trader stereotype. These immigrants often had a higher degree of education and professional skills than their Madeiran, and even their mainland, counterparts. As a result of this, many found jobs easily and were quickly absorbed into business and industry (Pereira, 2000:40). Glaser (2010:72) notes that, by the mid 1980s, this third wave had settled down and become relatively prosperous.

#### **2.2.4 The Portuguese community today and community identity**

The Portuguese are today the third largest European community in South Africa. The number of Portuguese in South Africa has increased dramatically, from an estimated 10 000 in the 1950s to an estimated half a million in the late seventies and eighties (Groenewald, 1979:8; Boshoff, 1988:12; Van Graan, 1988:45; Webb, 1999; and Pina, 2001).

However, before speaking of the so-called Portuguese community in South Africa, it is important to refer back to the definition of the term *community* in section 1.10 of chapter one of this thesis, and the issues surrounding identity, and the point that neither *community* nor *community identity* is a static concept. Community identity does not perpetuate itself throughout history, past and present in a fixed, concrete or static way. Identity and community identity are not cast in stone. Individuals have multiple fluid identities. The danger lies in the 'reification' of cultural or community identities which may lead to the belief that one's identity is a nearly biological unchangeable state of being. This also applies to the Portuguese community in South Africa. As

mentioned earlier, the communal identity of the local Portuguese and their descendants has been affected by various factors such as assimilation, generational identity shifting, regional differences, and so on. Glaser (2010:73) therefore even poses the question, “To what extent did the South Africans of Portuguese origin develop a coherent sense of community identity?” He answers his own question by admitting that this is an extremely difficult question to answer.

However, the purpose of this study is not primarily that of an investigation into the sense of identity of the local Portuguese community. To answer this research question a separate study would be necessary, which is only possible with in-depth and substantial oral interviews and other forms of research addressing that specific question. For the purposes of this study the researcher will adhere to the definition of the concept ‘South African Portuguese community’ given in section 1.10 of chapter one. Nevertheless, the sections below discuss today’s Portuguese community in South Africa in broad terms, and do point to a sense of community identity which can be inferred from the literature written by both community members and non-community members, and may also be assumed from the very existence of the numerous community-based organisations that have been specifically established to represent the community – or at least parts thereof, or interest groups within the community (discussed in section 2.3 of in this chapter).

Glaser (2010:74) points out that the Portuguese community in South Africa today is quite different from what it originally was. Up to the 1970s, the Madeirans and the mainlanders formed quite distinct communities. Madeirans lived in their own distinct neighbourhoods and within their own social networks. As Madeirans were generally less educated and had lower incomes, they were often looked down upon by the mainlanders. Although there were over-arching Portuguese associations in major towns and cities, there were also many regionally defined Portuguese associations and social clubs.

However, in spite of these regional – often linked to class – differences, there were many forces drawing Portuguese South Africans together. Language



was probably foremost among them. More recent studies suggest that this integration has become evident. McDuling's (1995) and Pereira's (2000) studies found the Madeira-mainland social divide to be insignificant. They suggest that these divisions flattened out from the mid 1970s to the mid 1990s, especially among the second generation. These authors suggest that other factors contributing to a more 'unified' Portuguese community may have been the local community media, such as the community newspaper *O Seculo*, and community radio and television stations. Since these community media targeted the Portuguese community as a whole they may have eased inter-Portuguese communication and promoted a common sense of connection and identity.

Glaser (2010:75) also suggests that Catholic churches drew Portuguese South Africans together across social divides and regional lines. "Aside from the actual services, many of which were conducted in Portuguese, church social events and charity work drew people of different backgrounds together. Although the church might have played a role in linking the community to other Catholic groups in South Africa, the reality appears to be that it has played a vital role in forging, and maintaining, a communal identity." Portuguese clubs and organisations that proliferated in the 1960s may also have been a contributing factor. At these, while football, and later roller hockey, were the main events, they were equally important in attracting Portuguese of diverse backgrounds to social gatherings, community functions and community weddings (Glaser, 2010:75).

In addition, the 'racial' identity of the Portuguese in South Africa has also contributed to the group's present community identity. As noted in section 2.2.3 of this chapter, many Portuguese were dark skinned and could at times be taken for 'coloured'. Anecdotes about darker skinned Portuguese having to keep their identity documents on them when they made use of white facilities are reported in the literature (Da Silva, 2005 & Glaser, 2010). Nevertheless, Da Silva (2005:vi) notes that, although the Portuguese had a more relaxed attitude towards racial integration than some other Europeans, often marrying and socialising across racial boundaries in the former colonies of

Mozambique and Angola (where many schools, churches, etc. were multiracial), they were well aware of the benefits of their racial classification as whites or Europeans in South Africa. The Portuguese, especially the Madeirans, although often dark skinned and often in labourer type employment on their initial arrival in South Africa (like most black South Africans), preferred to distance themselves from solidarity with blacks, knowing that, by asserting their 'whiteness', they had everything to gain. Similarly, the Portuguese from the ex-colonies would also be supportive of alignment with white privilege in South Africa since many, through their colonial experience, had suffered directly or indirectly in anti-colonial wars and tended to express suspicion and antagonism towards black political opposition (Glaser, 2010:78).

This approach had long-term and far reaching consequences for the community. In general, the Portuguese community preferred to keep under the political radar during apartheid. Their community organisations carefully avoided criticising government policies. If they did get involved politically, it was to express support for the government. Although they may have been at the bottom of the white social hierarchy, there can be no doubt that they benefited enormously from their racial classification. They had little material interest in political change and, if anything, were concerned to maintain the best relations possible with the political establishment. Most opposed political liberalisation. So, while they may on some levels have been more relaxed about racial integration, they felt that their white racial identity needed to be emphasised and protected (Glaser, 2010:79). Da Silva (2005:vi) also points to the long-term effects of local Portuguese racial identity, explaining that the end of apartheid has not done away with the racial identification of individuals in South Africa. Therefore, being white in South Africa is often associated with a past of privilege and oppression. The Portuguese community, by asserting their whiteness in the past, distanced themselves from the 'struggle' for freedom associated with black South Africans, and consequently created distance between themselves and an alliance with the new government.

Studies by scholars of Portuguese and non-Portuguese background such as Leal (1977), Da Rosa and Trigo (1986), Van Graan (1988), and McDuling (1995), also show that, in general, the Portuguese in South Africa do constitute a group or community in the minds of both the Portuguese themselves and the population at large. Webb (1999:45) notes that, although the Portuguese community has experienced widespread integration into South African society from the 1980s and onwards, at the same time a fair degree of group identification is still present. He explains that this sense of identity has been forged, *inter alia*, in a common historical experience, the struggle of early immigrants to establish themselves, a common language and a common faith. Pereira (2000:41) also notes that, although the early rejection by some whites of the Portuguese contributed to the Portuguese feeling alienated from their host population well into the 1970s, at the same time it contributed to their binding together as immigrants, and often consolidated their initial community identity. Many resorted to the support found in their families and other Portuguese immigrants, and established cultural and social community organisations where they felt more at home.

Pereira (2000:42) notes that the older generation and first generation of Portuguese immigrants in South Africa are very loyal to their traditions, especially regarding language and religious rites of passage. Glaser (2010:76) also points this out. He explains that the first generation immigrants continued to speak Portuguese at home, although they were educated primarily in English. However, although second and third generation Portuguese descendents today sometimes do not speak Portuguese, and have immersed themselves more widely in South African society, they still have an inherent feeling of pride and interest in their ethnic roots and cultural heritage, many still appreciating Portuguese culture, customs and music. Although their formal links to community structures have at times weakened and their identities have become more hybridised, the continued pride and interest in their cultural heritage has contributed to a community identity to this day. Glaser (2010:77) does however suggest that it may only be possible to develop a clear picture of the shifting generational identity that the local Portuguese are experiencing through detailed research into the life histories

of these first, second and third generation immigrants. As mentioned earlier, such research, and other studies of the community, would certainly become more achievable with access to well-managed, well-preserved and easy to locate Portuguese community records.

Today the Portuguese are involved in all spheres of South African society. According to Da Rosa and Trigo (1986:98), they have formed business concerns in a variety of economic branches such as metallurgy, banking, mining, financial investment, export, fishing, and construction, besides entertainment and food. Ferreira (2001) also acknowledges the diverse activities the Portuguese that reside in South Africa are linked to including commerce and the services sectors, agriculture, the hospitality industry, civil construction, the fishing industry, the transport sector, government and education. According to McDuling (1995:8-9), the younger generations of Portuguese are often professionals and many have distinguished themselves in the academic and cultural fields, and in government.

Although the Portuguese people have spread to almost every part of South Africa, the vast majority have settled and established themselves in the Gauteng area, especially Johannesburg (McDuling, 1995:8; Glaser, 2010). Several areas of Johannesburg, such as Bruma, Bedfordview, Kensington, Bertrams, Glenvista and Rosettenville have large Portuguese populations. These areas often provide a range of activities and services for the Portuguese communities there, such as churches that offer Portuguese services. Portuguese sports, social and cultural clubs and organisations, community newspapers and Portuguese restaurants are also found. In Johannesburg there is a Portuguese school, *O Lusito*, and a bank, Mercantile bank (formerly Bank of Lisbon), that caters primarily for Portuguese South Africans. Then there are dedicated television channels (*DSTV Portuguesa*), newspapers such as *O Seculo* and *Voz Portuguesa*, their own radio slots, and their own community Internet sites, such as the Portuguese Forum.

### **2.3 South Africa's Portuguese community-based organisations**

Communities per se do not create records. Individuals, families and the organisations that represent them are the ones that generate community

records. Therefore this study set out to investigate the Portuguese community-based organisations in Gauteng, since these are the creators of a primary source of community records, and thus a key resource for potential archival materials that may assist in preserving the history and experiences of the community.

Besides family, close friends and the church, in order to ease their adaptation to their adoptive country and to maintain a sense of community identity, the Portuguese have established an array of community-based organisations, since the early 20th century. Rocha-Trindade (1988:334) elaborates by explaining that, although emigrants in general, including the Portuguese in South Africa, seek physical locations such as neighbourhoods and cities that have larger numbers of existing members of their own community when settling in their host country, in order to aid in their adaptation, they also form groups to support one another emotionally, socially and financially.

These groups tend to occur spontaneously yet, with time, they often recognise the need to formalise their existence. These groups initially originate to strengthen and expand family and friendship ties within the community, thus creating a larger social network where people meet, make contacts, exchange ideas and interact. Some of these informal groups, when becoming formal, continue to play this role by organising social events, holding folklore dances, wedding parties, and so on. On the other hand, some groups may originate in an informal manner, but if the members of the group have a dominant characteristic or interest they often – especially on becoming a formal organisation – consecrate that interest. For example, a group that is mostly male that gets together informally might eventually create a community-based sports club, while an informal group that is mostly female may create a formal women's organisation that focuses on the welfare of the women of their community.

Rocha-Trindade (1988:347) also notes that these community organisations have played a vital role in maintaining a community identity and have assisted in minimising the dilution of the community, especially when it comes to second-and-third-generation community members. These organisations

include welfare associations; cultural, social, recreational and sports associations; women's groups; youth groups; and coordinating bodies. The oldest Portuguese community organisation in South Africa was the now defunct *Associação da Colónia Portuguesa*, which was founded in 1938 in Johannesburg. More recently, an overarching organisation was formed, namely the *Federação das Associações Portuguesas da África do Sul*. Lately, online organisations – such as the Portuguese Forum – have also been created, which help Portuguese individuals stay in touch with one another and with events and developments within the community and broader South African society.

These organisations are active in the Portuguese community all over South Africa, but especially in the Gauteng area, including Johannesburg, Pretoria, Alberton and Benoni. They provide a space where Portuguese people can get together and make contacts. On these occasions, Portuguese music and sports games take place, cultural activities are encouraged such as concerts and folklore dances, and Portuguese events are organised. These organisations act to further a variety of aspects of Portuguese community life in South Africa, and often exist to contribute to the welfare or wellbeing of the Portuguese community. Each has its own focus. For instance, some of these organisations were established according to the geographical or regional origins of their members, such as organisations catering for mainly the Portuguese from Madeira, for example, *Casa da Madeira*; others had a recreational or sports focus such as *União Cultural, Recreativa e Desportiva*, while others have had a cultural focus such as the *Núcleo de Arte e Cultura*. Many of the originally Gauteng-based organisations, like the Portuguese Welfare Society and the Portuguese Women's League have branched out to other cities in South Africa, with offices in Cape Town and Durban.

The online portal to Portuguese organisations in South Africa ([www.consuladovirtual.pt/c/portal/](http://www.consuladovirtual.pt/c/portal/)) lists more than 60 community organisations. It should be noted, however, that a number of these listed organisations have ceased to exist. This was determined by the researcher who, after repeated efforts to contact these organisations (through email,

telephone, the community media and through personal contacts), subsequently ascertained that approximately only 35 of these organisations are still active, with 25 of these being in the Gauteng area. The closure of these community organisations, and the implications thereof, is further analysed and interpreted in chapters six and seven.

### **2.3.1 Community-based organisations selected for the study**

The following Portuguese community-based organisations in Gauteng were chosen for the purpose of this study:

- *Federacao das Associacoes Portuguesas da Africa do Sul* – Federation of Portuguese Associations of South Africa (FAPRAS) – Johannesburg
- Lusito Portuguese Association for the Challenged (*O Lusito School*) – Johannesburg
- *Núcleo Sportinguista da África do Sul* – Sporting Nucleus of South Africa – Johannesburg
- *Academia do Bacalhau (Academia Mae)* The Bacalhau Academy (The Mother Academy) – Johannesburg
- *Federação do Folclore Português da África Do Sul (Raízes do Nosso Povo)* – Federation of Portuguese Folklore of South Africa (Roots of our People) – Johannesburg
- *O Seculo de Joanesburgo* The Seculo of Johannesburg Newspaper – Johannesburg
- *Sociedade Portuguesa de Beneficência* – Portuguese Welfare Society of South Africa – Johannesburg
- *Liga da Mulher Portuguesa na África do Sul* – Portuguese Women’s League of South Africa – Johannesburg
- *Nucleo de Arte e Cultura* – Centre of Art and Culture – Johannesburg
- *Uniao Cultural, Recreativa e Desportiva Portuguesa* – Portuguese Cultural, Recreational and Sports Union – Johannesburg
- *Associacao da Comunidade Portuguesa de Pretoria (ACPP)* Association of the Portuguese Community of Pretoria – Pretoria

- *Associação de Beneficência "Os Lusíadas"* – Welfare Association “The Lusíadas” – Pretoria
- *Clube Sport Marítimo* – Maritime Sports Club – Pretoria
- *Sporting Clube de Pretoria* – Sporting Club of Pretoria – Pretoria
- *Academia do Bacalhau* – The Academy of the Bacalhau – Pretoria
- *Casa Social da Madeira* – Social Club of Madeira – Pretoria
- *Casa da Madeira* – Madeira House – Alberton
- *Forum Portugues e a Voz Portuguesa* – Portuguese Forum and the Portuguese Voice – Benoni
- *Associação Portuguesa de Futebol, Cultura e Recreio* – Portuguese Association of Soccer, Culture and Recreation – Vanderbijlpark

In total 19 organisations from Gauteng were selected for the study. Each of these organisations is well established, and they have a long enough standing to have made a significant impact on the community. Another main reason for the choice of these selected community organisations was that as the larger long-standing organisations with established structures, staff and facilities, these were more likely to have created a significant number of records and therefore may hold a substantial amount of potential archival materials. The selection of the population for this study is described in depth in chapter five on the research methodology for this study. These community organisations, as the main study population, are also discussed in chapter five, of this thesis (section 5.4.3 – Population and Sampling), and are also further examined in chapter six of this study, which explores the empirical findings concerning these organisations and the records they create.

## **2.4 Concluding comments**

Leal (1977:1) acknowledges that the history of the Portuguese from the 15th to the 17th centuries is relatively well known and well documented, especially the experiences of prominent Portuguese navigators of the time and their arrival at the Cape of Good Hope and Natal. However, after the arrival and domination of the Cape by the Dutch and the subsequent loss of control of the region by the Portuguese, the documented history and experiences of this community here diminished, even though the actual Portuguese population



continued to grow here especially since the early twentieth century. Glaser (2010: 62) also highlights this by stating that "... in spite of the fact that they are still comfortably the third largest 'white' group in South Africa (after those of Afrikaner and British ancestry) and that they have left indelible layers on the culture and economy of the country, there is astonishingly sparse recognition of their existence in South African historiography."

Also, as noted in chapter one (section 1.3), the records found on the National Automated Archival Information Retrieval System (NAAIRS) database supports the limited recorded representation of the contemporary historical narrative of the Portuguese community in South Africa's institutions of preservation. The materials that were found were records about the Portuguese from the perspective of government, such as the Portuguese as 'illegal entrants and immigrants'. The records found were not the narratives of the experiences originating from Portuguese individuals, social groups or organisations – hence the fact that most of them do not represent the perspectives of the Portuguese themselves.

The above review of the literature available on the history of the Portuguese in South Africa, and the consequent lack of a narrative – particularly of the community's contemporary history – that became evident from the review, therefore further supported the need to collect and preserve records of the community. In addition, the above discussion testifies to the fact that, since their arrival here, the Portuguese have been, and still are an integral part of South African society. As such, they have contributed, and still contribute, towards the shaping of South African experiences, history and identity. Therefore, collecting and safeguarding the records produced by the Portuguese community – including records created by their community-based organisations – may assist in preserving a resource that goes a long way towards filling the 'large historiographical gap' of this under-researched South African community, and telling the story of a people that have both shaped and been shaped by their adoptive home.

## **2.5 Summary of chapter two**

This chapter presented a short survey of the history of the Portuguese community in South Africa. This brief survey was important because it helped to explain the community's origins here as well as their current presence in South African society. Information on South Africa's Portuguese community-based organisations was also given.

Based on a literature review, the next chapter provides a theoretical framework which underlines the importance for societies, such as South Africa, to have a more inclusive archival heritage and the need to document under-documented communities, such as the Portuguese community. This is supported by a review of relevant national and international literature, which analyses the issues relevant to under-documented communities, such as the 'total archives' concept, documentation strategies, 'archival activism', ethnicity as provenance, immigrant and community archiving and related concepts.

## CHAPTER THREE: THEORY AND RESEARCH LITERATURE ON DOCUMENTING THE UNDER-DOCUMENTED

### 3.1 The significance of the literature review for this study

As mentioned in chapter one, by way of an empirical investigation, the aim of this study is to devise an archival collecting framework for the Portuguese community by suggesting strategies for safeguarding the records generated by their community-based organisations, as a means of preserving their contemporary social history, memories and experiences, and of proposing a documentation model that will assist in the development of such a collecting plan. However, before embarking on the actual empirical part of the study, this chapter provides the necessary theoretical paradigm which underlines the importance of having an inclusive and representative archival heritage, and the need to document under-documented communities, such as the Portuguese community. To achieve this required a comprehensive literature review.

To put the findings in a larger context, the researcher deemed it essential to start by exploring the issues entailed in documenting under-documented communities, immigrant and community archiving and related practices. To this end, a theoretical framework needed to be established by examining existing archives and records management literature. This meant that it was necessary to uncover past and contemporary issues confronting these disciplines. Because of the in-depth nature of this study, an extensive study of national and international sources was vital, consisting of, inter alia, relevant books, archival records, periodicals (including online journal articles), websites and Internet resources, research reports and unpublished theses.

Extensive debate has been devoted to the significance of a literature review in any research undertaking. Robinson and Reed (1998:58) describe a literature review as “a systematic search of published work to find out what is already known about the intended research topic”, and point to its value by explaining that the literature review serves many important purposes, including establishing the need for the research; broadening the horizons of the researcher; and preventing the researcher from conducting research that

already exists. Aitchson (1998:58) supports the view that a literature review allows the researcher to find out what has been done in terms of the problem being investigated – to ensure that duplication does not occur. In addition, the author points out that literature reviews should not be unnecessarily lengthy and unfocused, with the researcher attempting to include anything vaguely related to the research problem.

Bless and Higson-Smith (2000:20) suggest a number of noteworthy reasons for a literature review, which include the following:

- to sharpen and deepen the theoretical framework of the research;
- to familiarise the researcher with the latest developments in the area of research;
- to identify gaps in knowledge, as well as weaknesses in previous studies;
- to discover connections, contradictions or other relations between different research results by comparing various investigations;
- to identify variables that must be considered in the research;
- to study the definitions used in previous works as well as the characteristics of the populations investigated, with the aim of adopting them for the new research; and
- to study the advantages and disadvantages of the research methods used by others, in order to adopt or improve on them in one's own research.

In addition, Bless and Higson-Smith (2000:20-21) assert that researchers should not simply describe or replicate the ideas of other researchers when reporting on the literature reviewed, but need to provide critical insight and analysis. Leedy (1989:66) affirms this by noting that the more knowledgeable the researcher is, the better she or he will be able to understand the research problem. He goes on to say that the purpose of a literature review is not only to identify and reproduce all information written about a topic, but also to gain insight into and understanding of the problem at hand, through analysis and synthesis.

There are many ways in which the literature review can be structured. However, according to Matthews and Ross (2010:105), "... the most common approach is to provide an overview of the subject matter of your research, including perhaps a historical and then a current context before moving on to explore your research areas in more depth, increasingly becoming more focused on your research area." The authors go on to explain that "... in a literature review short discussions, or mini-essays, are developed around the key areas of the research topics and the literature is drawn upon to provide supporting evidence for the points made" (Matthews and Ross, 2010:105).

### **3.1.1 Mapping the literature review**

The literature review for this study followed the approach described by Matthews and Ross (2010). In consequence, the review of the literature started by focusing on the reasons for undertaking the literature review in the first place; it then turned to the broad theoretical framework in which the study is placed; this was followed by a review of the historical perspectives on documenting the under-documented – in South Africa and abroad; next, the current situation of documenting the under-documented was examined; and finally, it moved on to become increasingly more focused on the research topic by exploring, in depth, specific developments that have been influenced by – or impacted on – documenting the under-documented.

More precisely, this chapter reviews and reports on the literature which addresses the following:

- literature that supports the theoretical framework of postmodernism and social history, which underlines the premise of this study, namely the social and ethical responsibility that the documentary heritage of a nation should – as far as possible – reflect, and be representative of all communities that make up a society, including the implication that communities that have been underrepresented, require a more inclusive process in order to restore their collective histories;
- developments in archival principles and practices that have a bearing on documenting under-documented communities and related concepts, including concepts and practices such as the 'total archives' concept,

the 'stewardship' approach to custody, 'community archiving' and the practice of 'participatory archiving'; and

- lastly, more specifically, literature that directly reports on documenting under-documented social groups, such as immigrant communities, and on establishing community archives – in the international context, in Africa and in the South African environment.

Particular attention was given to literature that reported on – and gave insight into – endeavours that include community organisational records as a means of safeguarding community social history and experiences, since this is the focal point of this study. These endeavours in archiving community memory derive from a variety of contexts, including programmes and projects managed by mainstream institutions and those maintained within the community. In addition, the review concentrated predominantly on under-documented communities and social groupings such as immigrant and ethnic groups of safeguarding – and not so much on other possible under-documented domains, such as under-documented localities or themes – since this again, was at the centre of this study. At times though, when reporting on South Africa – and especially the rest of Africa – literature involving non-traditional archival endeavours such as oral history projects and underrepresented topics such as documenting liberation struggles, were also discussed as they were the prevalent forms of such programmes in these countries, and they provided at least a partial means towards some understanding of how these related efforts are being tackled on this continent.

Finally, a variety of issues were examined in the literature reviewed, but of central importance was to identify theories and practices which might support the collection, management and preservation of community-based organisational records, such as those created by South Africa's Portuguese community organisations in Gauteng.

### **3.2 Theoretical framework for this study**

Before reviewing the literature on documenting under-documented communities, community archiving and related practices, this section reviews the literature on the theoretical developments that support or have impacted

on these archival practices and therefore provides a theoretical paradigm for this study.

The convergence in recent decades of two schools of thought, postmodernism and social history, has provided archivists with good reasons for collecting the documents of under-documented social groups and community archiving (McDonald, 2008:10). These two schools, although distinct, are clearly associated and they both impart ideas similar to the archival profession, ideas that are of particular relevance to this study – namely and most notably – the notion that there is a need to preserve a comprehensive documentary heritage of society by not only favouring the dominant narrative discourse, but by equally including the voices of ordinary people and the marginalised that may be underrepresented such as women, marginal religious groups, ethnic, linguistic and immigrant minorities, and so on. This becomes evident in the discussions below:

### **3.2.1 Postmodernism and how it has impacted on archival theory and documenting the under-documented**

White (2008:ix) claims that, with the increasing academic debate within the Archival Sciences about the place of postmodern ideas and the impact that these might have had – and continue to have – upon archival practice, has come an awareness that there are many communities whose experiences are not being documented or adequately preserved. However, to appreciate White's (2008) statement fully, one firstly needs to understand postmodernism and its place in archival discourse.

The height of postmodernism is often seen in the works of philosophers such as Michel Foucault, Jean Lyotard and Jean Baudrillard. Simply put, these philosophers reject the idea of objective truth and global cultural narrative. In this context, postmodernism is concerned with plurality, differences, scepticism and textualisation (McDonald, 2008:11). It is often seen as a reaction to positivism and modernism, where objectivity, certainty and unity were underpinning views. "The theoretical discourses of post modernity take a long, hard look at the rationalist assumptions underpinning modernist thought and practice" (McNeil, 2001:51). Or, as another author explains: "Post-

modernism calls into question Enlightenment values such as rationality, truth, and progress, arguing that these merely serve to secure the monolithic structure of modern society by concealing or excluding any forces that might challenge its cultural dominance” (Greene, 2002:53). And then, as Light and Hyry (2002:217) explain, “Post-modern theory emphasises the inherent relativism and subjectivity of observation and representation. It rejects objective truth and grand historical narratives, preferring instead plural, provisional, and interpretive perspectives”.

Cook (2001:15) notes that postmodern concepts offer possibilities for enriching the practice of archives. He observes that various authors in the archival field have been writing about the implications of postmodernism for archives, including authors such as Harris (1997) and Nesmith (1981), and perhaps most visibly Jacques Derrida in his book, *Archives fever: a Freudian impression*. However, he also acknowledges the possible weaknesses of postmodernism often highlighted by its critics (Cook, 2001:15):

“The first target is always the relativism of post-modernism. If post-modernists say that everything is relative, that every meaning hides a meaning within an infinite cycle of this deconstruction, that nothing can be known with complete assurance, that words and images are the only reality, then why should archivists not dismiss post-modernism itself as just another relativism – just as untrue, unstable and relative as everything it criticises? If post-modernists claim that history is a series of fictions imposed by those in power to augment their political and social position, how can this ever appeal to archivists, a large portion of whose work and clientele is focused on the past and its evidentiary record of actual facts?”

However, despite the perceived weaknesses and contradictions of postmodernism, Cook (2001:22) argues that postmodernism,

“... especially in its deconstruction form allows the release of tremendous energies by sweeping away that which has been constraining, that with which archivists have lived by habit or professional fiat. Post-modernism in this way can be enormously



liberating and constructive. Deconstruction is not about destroying in endlessly relativist critiques, but about constructing, about seeing anew and imagining what is possible when the platitudes and ideologies are removed. It is a mode of enquiry, of reading, of analysis, that generates an energy towards the openness required for genuine innovation and change”.

Cook (2001:22) goes on to say postmodernists in the archival domain, such as Derrida, are essentially deconstructionists in the sense that they are critical of what is preserved in the archive and they are suspicious of the authenticity of that memory. In his investigation of the possible impact of the postmodern philosophy on archival discourse, which is based on Lyotard’s work, the 1979 publication, *The post-modern condition: a report on knowledge*, Cook (2001:17) explains that “... post-modernism eschews meta narrative, those sweeping interpretations that totalise human experience in some monolithic way. Post-modernism seeks to emphasise the diversity of human experience by recovering marginalised voices in the face of hegemony”.

Cook (2001) adds that, in the rethinking from a positivist framework with a traditional state-centred archives, to a distinctively postmodern alternative, archivists repeatedly challenged five central traditional principles of the archival profession (Cook, 2007:43):

“1) that archivists are neutral impartial custodians of ‘truth’; 2) that archives as documents and institutions are disinterested, unself-conscious or natural by-products of actions and administration’s; 3) that the origin or provenance of records may be found in a single office rather than situated in the complex societal processes and multiple discourses of creation; 4) that the ‘order’ and language imposed on records through archival arrangement and description are value free recreations of some prior reality; 5) that archives in society are the passively inherited meta-narrative of the state rather than an integrated or holistic total archive from public and private provenances”.

Nesmith (2002:27) affirms Cook’s (2007) remarks above, and highlights especially his first point regarding archival neutrality in the postmodern debate

by explaining that postmodernism “helps us to see that contrary to the conventional idea that archivists simply receive and house these vast quantities of records, which merely reflects society, they actually co-create and shape the knowledge in records, and thus help form society’s memory”. He goes on to explain that in the process of ‘archivisation’, the archivists’ “personal backgrounds and social affiliations, their professional norms, self-understanding and public standing all govern the selection of archival materials, determine how they describe or represent it to make it intelligible and accessible; prompt their commitment to its indefinite retention and the special measures they take to preserve it over the long term...” (Nesmith, 2002:31). Light and Hyry (2002:217) point out that, “... most significantly post-modern thought challenges archivists, as individuals and social actors, unable to separate their own viewpoints and decisions from their contexts, to consider and acknowledge our mediating role in shaping the historical record”.

Postmodernism has increased the awareness of archivists that archives are neither neutral nor objective. According to the postmodern discourse, archives and records in a given society are very much biased towards the important and powerful people of the society, tending to ignore the impotent and obscure. Postmodernism highlights this relationship between power and the archives. It is also important to note that this power relationship is multi-dimensional. Not only do the powerful have power over the archives, but the archives also possess a large measure of power: “Archives have power over history, memory and the past” (Jimerson, 2006:24). Jimerson (2006:22) therefore suggests that archivists should embrace that power and that, with it, comes responsibility, especially when it relates to appraisal and collections development, where the impartial and passive nature of the archivist is no longer accepted. Instead, the archivist has – and always has had – the power to decide on what will be selected, constructed and preserved, from the total available, for posterity.

Cook (2001:23) further comments that, as a result of postmodernism, “society has become more aware of what post-modernists called the ‘Other’ – those beyond itself, those whose race, class, gender, or sexual orientation may be

different from its own, and those who in a globalised community it can no longer ignore when constructing its own identities and composing its own narratives". He goes on to say that the postmodernist state of mind celebrates ambiguity, tolerance, diversity, and multiple identities. "It does so in large part by shattering metanarratives - and the concepts, language, history, and archives upon which they are based" (Cook, 2001:24).

Cook (2001), turning to a practical example of postmodern archival practice, 'postmodern appraising', explains that the archivist would ask who and what they are excluding from archival memorialisation, and why, and then build appraisal strategies, methodologies and criteria to correct the situation. Archivists choose which records to preserve, using the power of appraisal to emphasise, consciously or unconsciously, chosen narratives while ignoring others. By acknowledging and trying to overcome the partiality towards records of powerful groups in society, archivists can provide a more balanced view of the past, and allow future generations to examine and evaluate the experiences and contributions of all voices in society. As a result, Jimerson (2006:30) suggests that archives and archivists are active contributors to the societal process of "remembering and forgetting" that may result in inclusion or exclusion and, as such, they have the responsibility of striving towards providing the future with a representative record of human experience or to "hold up a mirror for mankind".

Daniel (2010:90) also recognises that postmodernists explored various aspects that bear on archival theory, particularly "an assault on objectivity and impartiality, and a call to dismantle the dominant discourse and recover the voices of the marginalised". The author goes on to say that the impact on the archival and heritage fields has been significant, because it has opened a debate about the neutrality and objectivity of archival acquisition, it has broadened the definition of records, and it has widened the scope of events and people to be documented, leading to some important initiatives in documenting the under-documented (Daniel, 2010:92).

The archives profession, partly due to the framework that has governed its theory and practice, has – purposely or unintentionally – been responsible for

maintaining the dominance of certain mainstream narratives, and the omissions and perspectives of others in societies' documentary heritages. Its body of theory and practice originated in order to support the bureaucratic, accountability and cultural needs of government and mainstream organisations. Archival theory and practice have especially overemphasised the preservation of government documents and records of 'national significance', and this has allowed for or resulted in an uneven record of human experience. Also, according to earlier archival theorists, such as Jenkinson (1922), archivists are passive keepers of documentary remnants left over by their creators. Postmodern archival theorists, on the other hand, argue that archivists themselves are the creators of social memory. Through appraisal and collections development, they actively form archival heritage and, in so doing, they should not only seek the records of the mainstream and the state, but they should also collect and represent the stories of all that makes up a society, such as smaller or obscure social groups.

Jimerson (2006:32) reinforces the above by arguing that the challenge, therefore, is to represent all of society in our documentary heritage. He recognises that, although it may be impossible to achieve this in its entirety, "it is still a noble calling". Thus, archives need to devote, or at least be concerned with, documenting women, racial and ethnic minority groups, immigrants, labourers, the poor and other underrepresented groups. The goal of the archives and heritage professionals should be to ensure "archives of the people, by the people, and for the people", so that archives can fulfil their proper role in society.

Finally, it is important to be reminded of and to highlight here the direct relevance of the postmodern discourse to this particular study. As mentioned above, postmodernism brings about the awareness that archives are neither neutral nor objective. Therefore it implies that the dismantling of the dominant discourse and the recovery of the voices of the marginalised are necessary, alluding to a host of groups that may be underrepresented and under-documented in the documentary heritage of a particular society, among them the poor, women, religious, ethnic and immigrant communities. As this study

focuses on an immigrant minority in South Africa, namely the Portuguese community, the influence of an epistemological and social force such as postmodernism, and the arguments presented by this movement provide a framework which allows for a more inclusive construct of the past. Without this realisation of the need for a broader representation of the past in the archive – brought about to a large degree by postmodernists in the archival domain – it would be more challenging to articulate and rationalise the inclusion of these often overlooked and ignored groups. To conclude the debate on postmodernism, the quote by Jimerson (2003:56) is fitting here:

“Because the meaning is something that is always constructed and not inherent in documents, the postmodernists argue, archivists need to think clearly about how we determine which manuscripts and records should be collected and preserved. In making such decisions we should seek to minimise personal biases and to ensure adequate documentation of all aspects of society. This is a challenge before us as we decide how to develop an effective strategy for archival acquisition in the twenty-first century”.

### **3.2.2 ‘Social history’ and its influence on archives and documenting the under-documented**

Originating in the 1960s, and associated with postmodernism, ‘social history’, or the interest in the latter, was a move away or a shift from the historian’s and archivist’s preceding focus on the privileged and powerful and deals with ordinary people rather than the privileged or the influential. According to Greene (2003-2004:98) postmodernism argues that social history has a vital place in remembering the past. Postmodernists therefore reject the argument that ‘traditional history’ – which is revised by professional historians – is more legitimate and therefore worthy of archiving, while social history or memory – which is passed down through generations of ordinary people – has a much less legitimate purpose. Greene (2003-2004:98) goes on to say that “... behind each of these end uses is a set of end users: professional historians on the one hand, and amateur researchers of all kinds on the other. And behind each of these purposes is also a distinct set of archival and other documentary material that is more or less legitimate or useful to the end

users". He suggests that the "business of remembering" is therefore dependent on both 'history' and 'social history or memory' (Greene, 2003-2004:98).

Van Wingen and Bass (2008:576) explain that, before 'social history', "the prevailing view was that historians could write objective histories and that archives were neutral repositories for documentary evidence". Additionally, representation of history in archives typically focused on government, political structures and national leaders. They go on to say that "no historiographical event of the twentieth century more profoundly affected the archival profession than the new social history" (Van Wingen and Bass 2008:575). Mayer (1985:391) further explains that "social history is not interested in the extraordinary accomplishments of a few, but in the common everyday struggles and experiences of groups of ordinary people". It therefore encompasses the history of ordinary people and their experiences of coping with everyday life. This includes, inter alia, the study of black history, ethnic history, gender history, family history, rural history, and immigrants.

Although social historians were eager for information on ordinary people and on social groups in society, when looking for these in archives they found large gaps and biases. Daniel (2010:85) elaborates on this, saying that the institutional nature of archives and the influence of Schellenberg's appraisal theory and practice, contributed to the governmental and state focus of many archives (Daniel, 2010:86):

"Searching for information on marginalised or anonymous individuals and groups could therefore be a time-consuming and labor-intensive task across geographically scattered local historical societies or collecting archives... . At best, government records treated such individuals and groups as statistics. Archivists often rejected case files, perhaps the most significant source of information on individuals, because of their bulk and low evidential value".

Daniel (2010:86) also highlights the changes brought about by social history, arguing that, before the recognition of social history, often "only records of notable persons, to use Schellenberg's phrase, were thought worthy of being

preserved". However, as studies in social history – and its influence on archives – grew, archivists were urged to put together a more even-handed and representative record of history by ensuring better documentation on neglected themes, areas and communities.

Finding social history an important research trend that demanded a response from the archival community, Mayer (1985:388) advised changes to various aspects of archival management in order to keep up with research in the then emerging discipline, including reassessing acquisitions strategies, appraisal criteria, provenance, arrangement practices and descriptive techniques. Regarding appraisal and acquisition, he explained that, while archives had tended to collect the documents and records of prominent members of society and mainstream organisations, particular effort should be made to preserve those less available records which document the experiences of black people, ordinary women, and immigrant communities amongst others. Van Wingen and Bass (2008:575) support this by noting that, in the light of social history, which is a "history from the bottom up", archival practices regarding what archival heritage should be collected, have shifted to include the history of ordinary people, and neglected voices, such as smaller social groups identified by gender, race, ethnicity and class differences.

As social history showed itself to be a viable, durable historical approach, archivists also began to reconsider previous assumptions about the kinds of materials they should seek and acquire from these ordinary people and marginalised groups. Besides ephemera such as pamphlets, letters, photographs, newsletters and diaries, non-traditional materials including oral traditions were also considered as important expressions of culture that were often overlooked by historians and archivists. Van Wingen and Bass (2008:580) further explain that, by reinterpreting existing archival sources with an eye for the traces of people's lives underrepresented in archival institutions, social historians discovered new uses for materials previously thought to possess little historical value, such as directories, ships' manifests, school records and files of community social organisations. Welburn and Pitchford (2009:2-3) also recognise this issue by suggesting that, regardless

of the attitude towards elitist materials, social historians require new and different sources of information that have not been utilised before.

Lastly, however, Mayer (1985:393) cautions that archivists focusing on social history initiatives may discover that they have (once again) unwittingly collected only the papers of elite or middle-class blacks, leading feminists, prominent minority businessmen, and so on – in other words, the elite of the under-documented. It is important to collect their papers, but special efforts must be made to obtain those less readily available records which also document the lives of ordinary blacks, poor women, and poor or ordinary immigrant families. He suggests that one way to fill some of these gaps is by collecting the records of fraternal, ethnic, cultural, benevolent and welfare organisations and other community-based organisations. Other devices suggested, include oral histories and family histories.

As a final point, although the significance of the recognition in the archival field of the importance of social history for this study is evident, it may be appropriate here to point out some of its direct contributions. Firstly, just as with postmodernism, social history calls for a more inclusive narrative. As such it demands the incorporation of the voices of ordinary people and neglected communities in the archival heritage, including immigrant groups, such as the South African Portuguese community. In addition, it requires unconventional types of materials and alternative sources of materials to be sought in order to construct this more inclusive history. These may involve, inter alia, records created by community members and organisations, including community-based establishments, such as the Portuguese community organisations suggested for this study.

### **3.3 Literature reviewed on documenting underrepresented groups, community archiving and related practices**

According to Flinn (2007:155) documenting the under-documented should be seen as any initiative to document and preserve the traces of any theme, event, locality or group that may have been underrepresented in the archives. Similarly, McDonald (2008:3) explains that, when speaking of under-documented communities specifically, one is referring to groups, populations



or communities who have been marginalised or underrepresented within the context of the archival or documentary heritage of a nation or society. Documenting these communities entails ways of establishing alternative historical narratives that may challenge or supplement the one constructed by the mainstream or dominant cultures, communities, organisations or individuals.

The review of the literature revealed that extensive studies have been conducted abroad in the field of documenting under-documented communities, especially in countries such as the United States (US), the United Kingdom (UK), Canada and Australia. The international literature also reports on many examples of existing initiatives and projects to document underrepresented groups. Furthermore, the global literature presented considerable research on endeavours that include organisational records as a means of safeguarding community history, memories and experiences.

The literature reviewed has been greatly influenced by the theories discussed in the preceding sections. The literature and many of the authors who support the importance of documenting the under-documented and establishing community, ethnic, immigrant and related archival collections, have been influenced by (or have influenced) the postmodern discourse by highlighting the bias of mainstream archives towards the powerful in the official narrative, and the need for records from and about ordinary people to be encouraged by the social historian.

A review of the significant international literature, relating to developments abroad in documenting the under-documented, is presented here:

### **3.3.1 Developments abroad: shifting towards an inclusive archival heritage**

The discussions in the preceding sections emphasised that the overarching purpose of archives is to preserve records that are representative of all spheres of human activity. However, this purpose has often not been achieved because public or state archives and other mainstream archives have focused on collecting the powerful, collecting materials of prominent and well-known members within society, or on those having an elite bias. With the

new social history that has developed since the 1960s, and the postmodernist theories that have been applied, some archives have tried to reorient themselves. As mentioned in chapter one, in the early 1970s, American and European archivists alerted archivists to the fact that they should not confine collections development work to the elites of society, but should focus on documenting the lives of 'ordinary people'. They argued that archival repositories lacked significant documentation on women, minority groups and immigrant communities, and that a more balanced historical record needed to be pursued (Keough, 2002:242-243).

Cannon (2009:7) also observes that there have been some positive changes by explaining that:

“... for too long the shelves of archives were full of records from business, civic leaders, politicians and social elites. In more recent decades, however, more effort has been committed to the archival representation of minorities, women, labour, activist groups, community organisations ... and other groups that had previously been overlooked”.

He personally refers to this transformation as “archival social justice”. Daniel (2010:84) notes that these advances were also made possible because of new social and political developments in certain countries where populations were becoming increasingly diversified (especially in larger urban areas), and as a result governments and their institutions were compelled to become progressively more responsive to cultural diversity and minority rights. Immigration policies in the UK, US and Canada and, in addition, multicultural legislation in the latter and in Australia, all facilitated this transformation.

Within this context, concepts such as 'total archives', 'post-custodial', and 'documentation strategies and planning' began to gain credence in North America, the UK and Australia, requiring archivists from these countries to look towards including the lives of the ordinary people and members of marginalised social groups (Van Wingen and Bass, 2008:577). To achieve a more representative archival record, many mainstream institutions of preservation looked towards new approaches to collections development,

such as proactive 'documentation planning' or 'documentation strategies' (Zinn, 1997:522), 'participatory appraisal' and 'participatory arrangement and description' (Shilton and Srinivasan, 2007).

These various developments that have emerged in the archival field have been significantly influenced by the two schools of thought, postmodernism and social history, discussed in section 3.2. These include – amongst others – new appraisal theories, such as macro-appraisal, participatory appraisal, and the appraisal strategy of documentation planning; the concept of total archives; alternative provenance theories, such as ethnicity as provenance; the post-custodial and stewardship approaches to archival collecting as opposed to the traditional custody thereof; archival activism; and the community archives movement. (Abraham, 1991; Momryk, 2001; Keough, 2002; Wurl, 2005; Flinn, 2007; McDonald, 2008; and Daniel, 2010).

These specific developments within the archives and heritage fields that have a bearing on documenting under-documented communities and related practices are examined in the following sections based on the international literature reviewed:

#### 3.3.1.1 The 'total archives' concept or a 'national archival system'

Two concepts, that of the 'total archives' and that of a 'national archival system' have had a considerable impact on the practice of documenting the under-documented and establishing community and related archives, especially in Canada. According to Nesmith (1981:127) the total archives concept originated from the concept of 'total history', which developed in the early 20th century, and was inextricably linked to the development of social history. Similar to the social historian, in the context of the total history, the historian seeks a history from the bottom up and therefore relies on alternative sources. The historian interested in a total history resists preconceived ideas or definitions of source materials by expanding the documentary base so as to be able to write a broader, more inclusive or 'total history', for example seeking alternative sources to include a rural history or immigrant history.

Cook (2000:10-11) describes the Canadian experience of the total archives, by defining it as a combination of “recorded evidence of both the private and public, the institutional and the personal”. Momryk (2001:151) goes on to explain:

“The National Archives had acquired the records of various federal government departments which presented an official perspective on Canadian government operations and activities and on Canadian history generally. On the other hand, the acquisition of records from private individuals and organisations provided a different historical perspective on the development of Canada, often in strong contrast to the federal government perspective and interpretation. This approach to develop a ‘balanced record’ was the core of the ‘total archives’ concept of archives acquisition”.

He further points out that records created by ethnic and immigrant groups are examples of those that can challenge the idea of what are considered to be records of national significance, and can therefore also play a role in promoting total archives, by offering an alternative historical perspective and contributing to a more balanced record of the past.

Millar (1998:103) argues that the essence of the total archives came from an acceptance of public responsibility for the preservation of a wide range of archival materials, in all media and from all sources, in order to preserve a wider range of society's history and heritage. The concept of total archives, while not unique to Canada, differed significantly from archival practice in many other places. For example, the United States has evolved a tradition of separating the care of public and private records between state archives on the one hand and historical societies and university libraries on the other. However, although the concept of the total archives has mainly received attention in Canada, it is still a concept relevant to other societies, including South Africa. The total archives concept has come to mean that publicly funded archival institutions such as national archives, provincial archives and municipal archives, should acquire, preserve and make available for public use, both government and private sector records in all media, including paper

based documents and visual images, sound recordings and, in more recent years, digital media. Within this paradigm, public repositories are to be responsible not only for the reception of government records which have historical value but also for the collection of materials of all types and from any source which can help in a significant way to reveal the truth about every aspect of life, including the acquisition of, amongst others, the records of ethnic and immigrant groups (Millar, 1998:117).

However, even in Canada in the 1990s, the concept of the total archives has evolved into a belief in a 'national archival system'. These two concepts have acquired seemingly opposing meanings there through the years. Millar (1998:103) explains that the acquisition of non-institutional archival records, that is those records created by organisations or individuals other than a repository's sponsoring agency, is in decline. The author goes as far as to state that the concept of total archives has moved out of favour, to be replaced by the concept of the national archival system. The idea that public archival institutions, particularly national or provincial archives, must acquire and preserve all records of significance has been replaced by the perception that archival materials are best kept as close as possible to their place of origin. According to some advocates of the national archival system, the responsibility for the care of records rests solely with the organisations responsible for their creation (Millar, 1998:105).

The distinction between a 'total archives' approach and a 'national archival system' approach seems to be clear. However, archives, particularly community-based repositories, have insufficient resources to preserve everything from paper-based records to electronic records. Yet, on the other hand, the idea that regional, provincial and national institutions might serve as centralised repositories for such material seems to many to infringe on the principle of a national archival system by requiring records to be removed from their location of origin. Therefore, Millar (1998:122) asks whether there is a need to choose between one direction or another. A shared responsibility is suggested. This means that publicly funded archival institutions are not the only or primary entities responsible for the preservation of archival records.

Instead the principle of total archives is better applied by decentralising records care and by helping the creators of records to look after their own materials, for their own benefit and for the benefit of society. Through collaboration and cooperation, public and private institutions would ensure that a balanced record of society was preserved. In a subsequent article by the same author though, Millar (1999:47) realises that, in the case of Canada, in reality this has not happened. Instead the national archival system appears to have moved from a shared responsibility towards a focus on individual responsibility.

The responsibility for the care of non-public records, such as community-based records, is an issue that is central to the approach that the establishment of community archival collections will ultimately follow, that is whether community records will or should be transferred to a central public institution (a 'total archives' approach), whether these materials will be held at the creating organisation(s) (being part of a so called 'national archival system'), or whether the shared responsibility for these records is preferred. This issue is intimately linked to questions of custody and ownership, which are discussed in some detail in section 3.3.1.3 of this chapter.

### 3.3.1.2 Provenance, social provenance and ethnicity as provenance

The postmodern discourse in the archival domain has also challenged the traditional archival principle of provenance. According to the traditional definition, "provenance is a fundamental principle of archives, referring to the individual, family or organisation which created or received the items in a collection" (Pearce-Moses, 2005). However, Daniel (2010:94) reports that postmodernists argue that the origin of records, or 'who' created them, is not as easily identifiable. According to Daniel (2010:94), they suggest that archivists need to look at the context of creation, the social processes involved in the creation of records, and that provenance could even be "the societal and intellectual contexts shaping the actions of the people and institutions who made and maintained the records". In this paradigm, provenance could include new forms of records and one could think of records creation beyond individuals and institutions "as the dynamic activity of

a community with its own cultural values and practices”. Accepting this expanded view of the context of creation allows for other possible provenances, such as “place, ethnicity or collective memory” as provenance (Daniel, 2010:94”).

The benefits of extending the definition of provenance to a broader societal understanding is supported by Sassoon and Burrows (2009) and Nesmith (2006) who explain that document creation, use and archiving have social origins. Therefore the idea that provenance is about a single person or institution limits the understanding of the complex context within which records are created. Thus, Nesmith (2006:352) argues that accepting the societal dimensions of records creation, and expanding the view of provenance “helps archivists and others to understand in greater depth the utility of records by contextualising them more fully.” Nesmith (2006:) uses the example of aboriginal archives in Canada to illustrate the complexity of provenance. He explains that if we were to follow the familiar formal view of archival theory, “provenance is mainly the actual inscriber of records”, whether an individual or institution. When viewed this way, aboriginal people have no real role in the provenance of many government, church or business records about their own community, because they were not their literal inscribers. Yet, Nesmith (2006:353) notes that “... a great deal of information in such records, however, was obtained from Aboriginal people”. He therefore argues that “the archives of their knowledge helped to create the archives of the Europeans they encountered”. Thus provenance of these records is not a straightforward result of government or church as inscriber, but is rather a result of the interactions between the aboriginal people and the Europeans. Although provenance in the traditional sense would be the creating institutions, a broader societal definition could include the community it pertains to as also being the originator of those records, since the creation of these is a direct result of the community’s existence in – and complex interactions with – mainstream society and its institutions (Sassoon and Burrows, 2009:2).

Bastian (2006:279) argues that the redefinition of provenance is already being challenged and has already been expanded by archival theorists such as Terry Cook, Tom Nesmith and Eric Ketelaar, amongst others. These theorists are reimagining provenance as the whole of the identifiable and multiple relationships surrounding a record. According to them, archival narratives about those multiple relationships of creation and use should be exposed so that researchers may truly understand records from the past. They further argue that provenance should not be limited to institutions, because of the dynamic relationships between these and communities and individuals, and should therefore be expanded to 'societal provenance' (Bastian, 2006:279). The author (2006:280) therefore suggests the need to extend provenance to include a wider 'social provenance' and a "community of records", because "the reality we record and the way we record, are induced by socio-cultural factors". She goes on to say that "framing records within 'social provenance' and a 'community of records' offers archival solutions to the dilemmas of locating all voices within the spaces of records".

It is within this postmodern debate on provenance that Wurl (2005) also introduced the concept of 'ethnicity as provenance'. Wurl (2005:65-66) acknowledges the recent thread of archival literature that challenges the traditional definitions of the basic archival principle of provenance. He explains that the authors who challenge this concept argue that archivists learn early on that the originating source of archival material is something to be respected and represented in the way such material is gathered and made accessible. However, because of the conventional focus on discrete materials, archivists tend to avoid the richer and more expansive connotations embodied in the idea of originating source. Postmodern authors widen the understanding of provenance to encompass entities not conveniently bound by the walls of an institution or government department. Instead they argue that human beings operate in collective fashion and develop collective identities that, while perhaps more complex and not so neatly contained as the more distinct state or institutional entities, are nonetheless corporate and corporeal and that, therefore, provenance can merge around larger social



groupings, such as, inter alia, immigrant and ethnic communities (Wurl, 2005:67).

Wurl (2005:65) therefore asserts that understanding ethnic and other social groupings as an expression of provenance has several ramifications: “It can assist archivists in overcoming the historical tendency of ‘filiopietistic’ approaches to documenting ethnic groups and can help to avoid oversimplified conceptions of cultural diversity”. Without a full appreciation of the contextual whole of the ethnic community, efforts to document this dimension of society can take on a fragmentary and narrow approach. When ethnicity is not viewed as provenance, it tends to be viewed simply as a subject area, a topic or theme, like education, health, or the arts. This paradigm of archival selection overlooks the rich pool of information originating deep within community structures in favour of scattered products about communities, often generated by those on the outside looking in. It also runs a significant risk of being grounded on distorted assumptions of ethnic identities and community experiences. Wurl (2005:68) explains: “It is only through an appreciation of ethnic communities as environments of originating context that we can liberate ourselves from constricted thinking about the evidence of ethnicity”.

Daniel (2010:96) does however caution that “provenance is more than ethnicity”. She supports Wurl’s own admission by explaining that “considering ethnicity the primary source of identity shaping and community also leads to fragmentary and narrow collections, as ethnicity is only one of the many social groupings that shape collective identity”. She nevertheless does acknowledge the benefits of being open to the possibilities of ethnicity as provenance presented by Wurl, by agreeing that (Daniel, 2010:96): “... without such open thought, and an awareness of the social cultural context in which archives takes place, collecting efforts can never be sustainable and effective because they will lack the support of the communities”.

In short, the postmodern dialogue has put to test the very fundamental and core archival principle of provenance. Although trying for the conventional practices in the archival field, these views – that challenge the time-honoured

perspective of record creation as being that of an organisation or government department – allow for various contexts of creation, especially ethnic and social groupings. Immigrant groups, such as the South African Portuguese community, embody an example of one such grouping that archivists need to contemplate when thinking about provenance. Treating these records emanating from these communities as merely documents originating from unconnected discrete organisations, may result in the inability to understand the dynamic nature of such groupings, the interactions their organisations have with one another and with their communities, and their relationships and interactions with society as a whole. This may in turn result in depicting the past of these groups in a fragmentary and artificial manner, instead of recognising the complex social interactions of these groups which would become more evident if other contexts of provenance such as ethnicity were regarded as valid as well.

#### 3.3.1.3 The question of custody

Closely related to the above discussion of provenance is the question of custody. Wurl (2005:71) argues that new meanings of provenance, such as ethnicity as provenance, calls into question the conventional archival values of ownership and custody. The traditional archival principle of provenance insists that the contextual source of documentation be respected in the way material is developed and administered. In the domain of ethnicity, immigrant and other community collections, the author argues, the meaning of ‘respect’ goes hand-in-hand with the matter of cultural ownership or custody. The question of who retains custody and control of community-based archival records, such as ethnic and immigrant collections, has therefore become a controversial issue and this is reflected in the literature reviewed. This has led to archivists considering alternatives to the traditional custodial role of an archives.

The traditional attitude or belief that has dominated the archival profession is that of custody, where the safekeeping of records implies the physical transfer of records away from the originating body to a formal archival institution whereby both physical ownership and legal responsibility of records are surrendered to the latter, or as Bastian (2002:81) explains, that the concept of

custody has been that of “the legal and physical control of records by an archival institution” and that “the custody obligation is fulfilled when an archival facility formally takes in records from a records creating agency and thereby assumes both legal and physical custody of the records” (Bastian, 2002:86).

Alternatives to the traditional custody approach began mainly as a consequence of the large increase in records and technological developments, such as the advent of electronic records, and the difficulties these presented in being transferred away from their offices of origin to a formal archival institution. Initially, these concerns were largely due to technical issues such as complications arising from the wide range of hardware and software which would have to be transferred or be available at these institutions to access and maintain these records and the electronic systems on which they were created. According to Bastian (2002:88), the American archivist F Gerald Ham suggested:

“In an age of increasing record abundance that threatened to overwhelm archival institutions, archivists needed to rethink their custodial role and devise proactive strategies to manage archives and retain legal custody. He coined the term ‘post custodial’ era, to herald a new age in which archivists would not be merely keepers of records, but managers of records within the context of a technological society”.

Due to the requirements of archival electronic records which demand management outside the environment of the archival repository, the aim of this approach is to allow the creator to retain physical custody of their archives, but that they should receive assistance in caring for these from a formal archival institution. The proponents of the post-custodial approach argue that, with the abundance of archives in today’s technological society, archival materials would best be served if they remained within the setting in which they originated (Bastian, 2002:89). Many of these proponents also advocated the idea of a ‘distributed custody model’ whereby, by abandoning the physical in favour of the intellectual control of archives, records would remain in the originating office. In the distributed model, the legal

responsibility for the records and accountability for them is divided between the originating office and the archives.

However, as noted above, for the most part this emerging paradigm has been encouraged in the domain of electronic records. Yet, despite the main debate of custody taking place in the context of the electronic records, the recognition that certain archives might be best served if they remain in the place where they originated has also been strengthened by the creation of many community archives. This is supported by Bastian (2002:89) when discussing the custody in the Canadian environment. The writer notes that “many people, communities and groups do not want their records in the hands of a large centralised government, perhaps transported to archival storage in cities well removed from the point of creation, and from the people who may want to access them”. This is also highlighted by Flinn, Stevens and Shepherd (2009:71) when referring to archives that desire to document, record and preserve the identity and history of their own community in the UK:

“Some custodians and creators of these collections remain suspicious of the mainstream archival profession and are determined to preserve their independence and autonomous voice by retaining direct ownership and physical custodianship of their collections”.

As mentioned at the beginning of this section, new or emerging approaches to provenance are questioning the conventional values of custody in the archival field. The long-established archival principle of provenance maintains that the contextual source of documentation should be respected in the way the materials are developed and managed (Wurl, 2005:71). However, in the realm of community collections, such as immigrant and ethnic archiving, the author contends that the meaning of ‘respect’ is tied to the issue of cultural ownership. Wurl (2005:71) goes on to say that “... if there is any one facet of documenting immigrant and ethnic communities that sets this realm of archival activity apart, it is the issue of jurisdiction”. The traditional principle of custody, a deeply entrenched professional value, assumes that guardianship of records includes both physical possession (physical custody) and legal responsibility (legal custody) of records. However, in the administration of

community, ethnic and related archives, the 'inviolability' of custody needs to be challenged.

In the world of community archival collecting, such as ethnic and immigrant archives, custodial principles need to give way to a different framework of jurisdiction and responsibility. Wurl (2005:71) therefore posits that "... custodianship needs to be replaced by stewardship". In the custodial approach to archives, property is relinquished by the originating source, and possession is taken both physically and legally by the archives. The collecting institution's perspective is that, at the moment of transfer, the importance of the materials to the originator fades away in comparison with their importance to external researchers. The materials are now owned by the archival repository, and attention given to them is aimed at a largely imagined group of potential users, most of them often not seen as being affiliated with the originators.

On the other hand, the 'stewardship principle' encompasses a very different set of relationships between stakeholders and materials. It is characterised by partnership and continuity of association between archival repository and originator. In a stewardship approach, archival materials are viewed less as property and more as cultural asset, jointly held by the archive and the community of origin (Wurl, 2005:72). Records may be donated to a repository but with the expectation that, in many respects, the relationship between donor and archive is just beginning. The goals of stewardship are preservation and access to information wherever it might be physically held, while intentions to claim or possess the material for a given community are both irrelevant and invalid. Stewardship recognises that the universe of potential source materials originating from and pertaining to any community is limitless and ranges far beyond the boundaries of formats conventionally regarded as archival.

Wurl (2005:72) goes on to explain that accepting the idea of "... ethnicity as provenance and consequently adopting a principle of stewardship may seem to speak primarily to archival programmes directly established by ethnic communities. In such settings, the kind of symbiotic ongoing 'ownership'

connection between archive and originator described above develops more naturally". In the case of community collections not set up by ethnic communities, but by mainstream institutions such as universities, the first task of any immigrant or ethnic documentation effort is to be aware of this paradigm of cultural provenance. "Without the deep absorption of this socioarchival reality, such efforts can never be sustainable and effective. They can never be seen by the communities they endeavour to reflect as anything meriting true participation" (Wurl, 2005:72).

On the point of custody, Bastian (2002) makes another important observation. The author explains that, despite the shift away from physical custody that these new custodial approaches emphasise, they do not by any means suggest a total break from the former. The foremost considerations in the issue of custodianship of any particular archives are the access and the needs of the user (Bastian, 2002:93).

"Any custodial system would include the assurance of continuing access for those communities or peoples whose histories it represents... . Cohesive and reliable construction of collective memory by communities or groups of people depends upon their ability to access their own historical records in addition to the artefacts, traditions, folk histories and other memorializations of their pasts. Access therefore is integral to the custody of those records and must be part of any debate about their care and control".

This is also pointed out by Jimerson (2006). He explains that there is an inherent tension in documenting groups that have traditionally been neglected or marginalised: "Who owns the history? ... One reason that African-Americans, ethnic groups, gays and lesbians and others have created their own repositories is to retain control over their own documentation, over its presentation and interpretation, and over the very terms of access" (Jimerson, 2006:19-20). It may be argued that, ideally, a community should be close to the records they have helped to generate. Not only should they be able to feel part of the process of generating their social history, but it is essential that their right to access their records is also assured. After all, access and use

are the primary goals of all archiving endeavours, the other activities simply being tools we use to achieve these goals.

Finally, it is important to point out here the significance of the issue of custody as it relates to this study. As mentioned above, custody of community records is a contentious matter. Issues such as resources, skills, the attitudes of mainstream institutions, perceptions and trust – all play an important role in deciding on the eventual custody of a community's documentary heritage. Custodial approaches allow for collections that are sustained by the community entirely independent of mainstream heritage institutions, those that are transferred to a mainstream establishment completely, and those that seek a collaborative endeavour. The issue of which custodial approaches community-based organisations, such as those of the South African Portuguese community, may prefer, will most certainly be influenced by these issues, and will impact on the eventual disposition of their records. The sensitive nature of the decisions community members and organisations have to make regarding the custody of their records is also recognised by Flinn (2007:2010) in his discussions on the community archives movement and ownership, in section 3.3.1.7 of this chapter.

#### 3.3.1.4 Acquisition and appraisal theory: documentation strategy, macro-appraisal and participatory appraisal

The postmodern dialogue and the recognition of the significance of social history in the archival field have impacted enormously on the traditional appraisal theories and the archival practices of acquisition. Postmodernism interrogates the objectivity of our selection: who executes the selection, how and why records are selected, and the power relations involved, while social history brings into question whom we include and whom we exclude from our collections. These enquiries have required archivists to re-examine the ways in which these activities are performed.

Decisions about acquisition, collection development and appraisal of archival materials have significant implications for social memory and documentation of contemporary society, yet critics charge that archival selection often occurs without much conceptual thinking about its purpose and methods (Jimerson,

2003:55). Daniel (2010:89) notes that changes in the methods used in documenting or archiving underrepresented communities, such as immigrant and ethnic groups, and new theories to explore the issues that this practice raises, have resulted from various factors that came together in the archival field in the 1990s. One of these was the development of “alternatives to Schellenberg’s appraisal theory and methodology”. According to Daniel (2010:90), in the United States, Helen Samuels introduced what she called a ‘documentation strategy’ in the mid 1980s and, at the National Archives of Canada, Terry Cook formulated the ‘macro-appraisal theory’. “Both invited appraisal archivists to consider the context in which records are created before looking at the records themselves.”

Appraisal in the archival field is the practice typically understood to mean the separation of those records worthy of preservation because of their archival value, from those which can be destroyed when they lose their short-term functional value. At the centre of this practice is the question of appraisal criteria; in other words, what criteria should archivists use to identify records with archival value. This has been controversial and has led to alternative appraisal theories, such as ‘macro-appraisal’. Focusing on institutional archives, macro-appraisal is a theory of appraisal that assesses the value of records based on the role of the record creators, placing priority on why the records were created (function), where they were created (structure), and how they were created, rather than content (informational value). Based on empirical research, macro-appraisal is intended to result in an archives that documents processes and functions. If functional analysis reveals gaps or underrepresentation of what is documented, then steps can be taken to remedy the situation (Daniel, 2010:90-93).

According to Harris (2000:40), this new macro-appraisal theory “is founded in the core archival principle of provenance – that records have meaning within the contextual circumstances of their creation and contemporary use. Records are the products of processes involving complex interactions between creators of records (structures, agencies, people), socio-historical trends and patterns (functions, activities, programs), and clients/customers/citizens.” In



this context, the “purpose of appraisal is to secure an appropriate documentary reflection of this milieu. Records which provide the best – the richest, most focused – *evidence* of this milieu have archival value. Archival value, then, in the first instance is located not in the records but in the processes that underlie their creation”. Harris (2000:41) goes on to say:

“In appraising processes before records, the archivist not only targets the records with archival potential, he/she also identifies ‘processes’ that are poorly documented by the records and which need to be covered by records collecting and creating activities”.

According to Cook (2001:31), macro-appraisal is not an exercise in political correctness. Rather, the point is “to research thoroughly for the missing voices in the human or organisational functional activities under study during the appraisal process, so that the archives then can acquire in its holdings multiple voices, and not by default only the voices of the powerful”.

The macro-appraisal methodologies of the institutional archivist have a direct bearing on a related collecting strategy, that of the ‘documentation strategy’ developed by Helen Samuels (Cook, 2000:10). However, while macro-appraisal stresses the need to document the functions of government and interactions between citizens and the state, Samuels’s (1986) documentation strategy is not only concerned with institutional records but also offers a method to document social groups and topics, activities and geographical areas. Its development includes record creators, archivists, and users, and is carried out through a system-wide understanding of the intended life-cycle of the record and, as such, it emerged as a proactive, collaborative alternative to passive acquisition.

A documentation strategy encompasses four broad activities: choosing and defining the topic to be documented; selecting the advisors (representing creators and users) and establishing the site for the strategy; structuring the inquiry and examining the form and substance of the available documentation; and selecting and placing the documentation (Samuels, 1986:116). Because of its social focus, the documentation strategy is of particular interest to so-called ‘collecting archives’, such as ethnic, immigrant and other community

archives. Simply put, a documentation strategy is a plan to assure the adequate documentation of an ongoing issue, activity, function, subject or group. It establishes as a pre-requisite to sound appraisal, an analysis of the universe to be documented, an understanding of the inherent documentary problems, and the formulation of a plan to ensure adequate documentation. Participation and collaboration between the community and the entity responsible for the archival collecting effort through advisory committees and so on is also emphasised. Samuels offers archivists a more active role, going as far as implying that they should not just go after existing records, but inviting them to intervene to ensure that records are created for the subject or theme they are interested in (Daniel, 2010:90).

Although controversial amongst archivists, the documentation strategy encourages archivists to look at the context of creation rather than at the records themselves. Therefore this idea resonates in the field of ethnic, immigrant and related archiving. According to Cook (2000:10), it gives the collecting archivist the opportunity to research and plan their appraisal and acquisition work to be part of a nation's integrated national documentation strategy and to add their collections to form a 'total archives' with their fellow archivists in institutions and government, thereby enhancing a nation's collective memory and heritage. Cox (1994:29) augments the argument by Cook(2000) saying that one of the main principles to be derived from Samuels's documentation strategy is that part of planned documentation is to be sensitive to the under-documented elements of society. He explains that "archivists influenced by the work of social historians, have been especially concerned about the documentation of certain aspects of society. This concern led to a number of efforts to develop special subject archives that collect with the intention of filling in gaps". He continues his explanation: archivists need to be aware of all elements of society and of the fact that some of these elements may not be well represented. He concludes by saying that representative documentation is an important assumption in documentation strategy.

Many archivists today recognise the theoretical benefits of the documentation strategy, yet few see how it can be implemented fully in practice. Abraham (1991:52) notes that, in reality, in practice, a complete documentation strategy is difficult to achieve. Although an archives can maybe accomplish some of the tasks proposed by the documentation strategy model - such as an analysis of the institutional holdings, a carefully written collection development plan, an appraisal policy or cooperation with other repositories in the region - the author points out that no documentation project has achieved the goal of producing a full documentation plan. "As an ideal however, it may offer a suggestive conception of the total universe of documentation and of the potential role of the archivist" (Abraham, 1991:52). Cook (1992:187) also notes that Samuels's documentation strategy has its flaws. He points out that the subject or thematic approach to appraisal cannot be the prime focus of appraisal as suggested by Samuels (1986). This approach would result in an enormous overlap of themes and functions, resulting in the duplication of archivists' records acquisition, and the decision on the themes and subjects chosen would be difficult and would always be in dispute. Nevertheless, as with Abraham, he acknowledges that Samuels's strategy is still worthy of much praise as it would turn archivists from being passive custodians to being active documenters, an important paradigm shift that has assisted archivists interested in seeking the documentation of the under-documented (Cook, 1992:186).

Another change to the theory and practice of appraisal has been that of the development of the idea of 'participatory appraisal' formulated by Shilton and Srinivasan (2007:88), who explain:

"Archivists choose which records to preserve and to discard, using the power of appraisal to consciously or unconsciously assert chosen narratives as truth while ignoring or reframing others... . This assertion, ignoring, or reframing of narrative that accompanies archival processes is inevitable. Even a diverse team of archivists cannot possibly choose all documents, describe all knowledge in a collection, and represent all truths and experiences".

Shilton and Srinivasan (2007:93) therefore argue that to create an archive that is more representative of a community, the appraisal process needs to be a cooperation between creator, community (organisations and individuals) and archivists. They continue (Shilton and Srinivasan, 2007:93):

“For the archivist successful appraisal decisions rest on understanding the value of particular narratives and records to a community ... . In order to gain ‘thorough knowledge’ of how to appraise community records, archivists must have participation from experts: the community members responsible for records creation”.

The authors also point out that participation should not be limited to appraisal only, but rather to a comprehensive ‘participatory archiving’, which includes community participation in activities such as arrangement and description, and that advisory bodies should be established to facilitate this collaboration between the community and entity responsible for the archival collecting effort. This will allow the archive to collect the narratives most valuable to the community it represents. Daniel (2010:98) argues, though, that although a worthy approach, Shilton and Srinivasan’s participatory appraisal does have its faults. Their approach implies that collecting efforts may assist in moving towards the unrealised goal of totally representative collections. However there is no such thing as a monolithic community and therefore “choosing specific individuals to participate in the appraisal of archival materials will inevitably eliminate others who might have acted differently”, supporting the viewpoint of some that ‘a truly representative record’ is in fact not totally possible.

Finally, on the note of appraisal, Harris (2000:44) argues that records express power relations and, as such, the voices and experiences of smaller or obscure groups, the disadvantaged, the marginalised, and so on will either be in the margins of the record, or simply absent. He continues by posing the question of whether archivists should seek to capture this reality in their appraisal work, or should they work against it by actively documenting these voices and experiences. He concludes that the answer to this question

ultimately resides outside archival theory: it has to do with choices in the exercise of political power and archival activism.

#### 3.3.1.5 Archival activism

Zinn (1997:528) states that archivists should take the trouble to compile a whole new world of documentary material, about the lives, desires and needs of ordinary people. For this proposal to become a reality though, demands of the archival community what has been termed 'archival activism', a social history enthusiasm to actively seek out and collect documents outside the mainstream, and a postmodern readiness to recognise archivists and those individuals from communities participating in the archiving process, "as natural shapers of the documentary record" (McDonald, 2008:10).

Stevens, Flinn and Shepherd (2009) explain that archival collections such as community, immigrant, ethnic and other related archives represent an important cultural asset. However, these archives are often the result of input by individuals who have made significant personal, professional and financial sacrifices for very little reward or recognition and sometimes in the face of active opposition, so that the narratives of a community's past and contemporary experiences might not disappear with them. What drives these individuals and groups has not been historical curiosity alone. Rather, the work of documenting these marginalised or hidden histories is a political act. Central to this politics is the vision of full equality, brought about by revising the dominant narratives. Stevens, Flinn and Shepherd (2009), therefore argue that documenting the under-documented might be better understood as forms of social movements and social justice, rather than as static collections of materials. Often individuals involved in documenting the under-documented may be identified as political and cultural activists campaigning for equality and cultural recognition. Often these collections have emerged in response to a need identified by a community member or collectively by members of a particular group rather than as part of an initiative by a mainstream or public organisation.

The constituting of these collections or archives therefore tends to take the form of politically informed interventions by community members and

archivists against the dominant historical narratives which have been excluded, ignored or misrepresented. Participants are actively engaged in history making: “seeking to document and tell one's own story in any context constitutes a radical and critical intervention into existing fragmentary, incomplete and frequently biased public narratives, and is therefore fundamentally an activist practice” (Stevens, Flinn and Shepherd, 2009:11).

A distinction, however, needs to be made between a purely ‘activist archives’ and an archives that may result from some sort of ‘archival activism’ like those discussed above. Millar (2010:42-43) implies that the purely activist archives is an archival institution that promotes a political programme and is based on a clear political agenda. On the other hand, some community and related archives may be the result of some of its members seeking ‘social justice’ in the context of archival representation, a form of ‘archival activism’. She does point out that there are also community collections and archives which may be considered ‘activist archives’, with a clear political agenda. Examples suggested by Millar (2010) include: the ONE National Gay and Lesbian Archives in California, which holds mostly political activist materials of gay marches and same-sex marriage materials; and the South African History Archives (SAHA), the archival holdings of which were closely aligned with political groups such as the United Democratic Front and the African National Congress. She also notes that the collecting efforts of these institutions may change over time as they become more established, like the SAHA which has moved away from direct political alignment to a broader commitment to collecting materials as widely as possible, in order to document South African history and current events in general (Millar, 2010:43).

3.3.1.6 Frank Upward’s archival model of the ‘records continuum’ and its bearing on documenting the under-documented and community archiving

Another theory that has a bearing on and supports the practice of documenting groups that are underrepresented in the archival domain is Frank Upward’s archival theory or model of the records continuum. Upward was strongly influenced by postmodernism, and continuum worldviews of

integrated space-time that have displaced the life cycle worldviews in other disciplines from the early years of the 20th century (McKemish, 2001:346).

In short, the continuum model consists of four axes (evidential, transactional, recordkeeping and identity) and four dimensions (document creation, records capture, organisation of corporate and personal memory, and pluralisation of collective memory). The records continuum model showed how 'life cycle' stages that records supposedly underwent, were in fact a series of recurring activities within both archives and records management, or as Upward (1996:268) puts it, "A records continuum is continuous and is a time/space construct not a life model... . No separate parts of a continuum are readily discernible, and its elements pass into each other". According to Upward (1996), the continuum model has the ability to support different interpretations, depending on the context. Its application is not only within a government environment, but is a dynamic tool that challenges all archivists to engage in a broader social space.

In Cook's view (2000:11), "the records continuum model is the world's most inclusive model for archives". It not only encompasses the vital records management role of creating and maintaining current records, but also sees as critical the cultural, historical and heritage roles of the archives. The continuum model includes both 'evidence' and 'memory' on one of its axes, and its 'pluralising of memory through societal archives', in the 'fourth dimension' of the continuum model. Cook (2000:11) explains that, although the vast majority of records-keeping and archival literature worldwide has focused on the activities in dimensions one and two of the continuum, those of creating reliable documents as authentic recorded 'evidence', the continuum model in itself does not deny cultural, historical, or heritage roles to archivists but, on the contrary, sees these as critically important parts of record keeping as preserving memory. This is recognised by Upward himself who explains that "a system for building, recalling, and disseminating collective memory (social, cultural or historical)" is part of the fourth dimensional analysis of the continuum (Upward, 1996).

Cook (2000:10) explains that the archivist adds – from this fourth dimension of the records continuum, which concerns societal or collective memory – a perspective based on the pluralised nature of the archive. This broader pluralised dimension focuses first and foremost on the citizen's impact on, interaction with, and variance from the state: "It is especially attentive to those voices which are marginalised from the archival record, it is sensitive to how organisational records complement or supplement personal and family records, it encompasses cross-institutional and cross jurisdictional perspectives, and of course it is infused with considerations that cross time and space and encompasses needs of users of archival records".

The continuum model in dimension four supports the importance of preserving social and collective memory within a pluralised paradigm. It also supports the postmodernist and social history discourse, questioning the 'who' in society that should be documented, and the custodial debate on where best the archival record is preserved. In dimension four, archiving initiatives serve the documentary needs of many entities and ensure the accountability and the cultural memory of society as a whole. Records required for purposes of societal accountability or other forms of collective memory become part of wider archival systems that comprise records from a range of organisations (Cook, 2000:12). Cook (2000:10) also says that, since postmodernists both within and outside the archives are recognising unanimously, that, in this environment proposed by the records continuum model,

“... archives are dynamic, contested sites of power in society and always have been. Do we use the power entrusted to us by society to reflect its broad spectrum of human memory or do we privilege the official narratives of the state and powerful in society?”

Newman (2011), referring to community-based archiving initiatives specifically, similarly notes that certain factors that contribute to the sustainability of a community archives may be aligned with the records continuum framework. The author explains that funding, the archivists' character, skilled staff, collaboration and external support factors all align with the 'identity axis' of the records continuum – “... in other words, they are



organisational factors”, and that this “illustrates the importance of addressing the organisational factors if we wish to preserve collective memory...” (Newman, 2011:101).

It is important to end this section by highlighting the direct relevance of the records continuum model to this study. The discussions above indicate that the records continuum model does not only recognise the importance of records for accountability and evidence, but equally emphasises their significance in preserving social and collective memory within a diverse context. It is mindful of those narratives per se, which have been disregarded in the archival heritage. It therefore confirms that the postmodernist and social history debate which interrogates the ‘who’ in society, should be documented. The model is also open to the idea of how records arising from diverse sources are complementary and supplementary. It similarly relates to the debates on the total archives and national archival system in section 3.3.1.1, which support the premise that records from wide-ranging contexts such as from individuals, family records, private, state and organisational records – for instance, records created by organisations of underrepresented communities – provide different perspectives and help to create a more inclusive cross-sectional representation of societal memory. It should also be noted that certain aspects of the Upward’s records continuum model were drawn into the documentation model developed by the researcher for collecting the organisational records of the Portuguese community-based organisations in South Africa (presented in chapter eight, section 8.5)

#### 3.3.1.7 The community-based archives movement and other archival collecting approaches for community records

Although a community archives collection is one that reflects the history and experiences of a specific group regardless of where these materials are kept or preserved, as was noted in chapter one (section 1.10), it is important to make a distinction between the different frameworks for archival collecting initiatives that are most often established to preserve the records generated by a community, its members and organisations. These may include those that are borne within the community, situated within its own community

structures and managed by it, independently. These are often referred to as independent community-based archives. On the other hand, there are those collecting initiatives that are established by mainstream institutions, and these acquire and transfer records created by a community to the mainstream collecting institutions, where they are managed, preserved and made accessible. These initiatives are often affiliated to institutions such as a national archive or a university special collection. Finally, there are also archival collecting initiatives of communities that adopt a collaborative framework approach to the management and preservation of these records. These endeavours normally include partnerships between the community and a mainstream institution, where the skills and knowledge of each are garnered in order to sustain and enhance the collecting initiatives.

Flinn (2011:7-8) also acknowledges these different approaches by explaining that, although the focus of community archival collecting initiatives has often been on keeping physical custody of records within community structures, including endeavours where intellectual ownership of the collections is retained by the community, but physical custody of the records may also be transferred to a mainstream institution, or even partnering with these formal heritage institutions for mutual support, advice and professional expertise. These different approaches are discussed below:

The growth of community archives has also coincided with the developments discussed thus far. To begin with, the community-based archives movement can be defined as falling within the postmodernist archival framework since it also challenges the neutrality of existing mainstream collecting efforts. It is also associated with social history because it too displays an interest in validating a 'history from below'. In addition, as with social history, it seeks to ensure that those memories that have been suppressed or overlooked are given a space, and that novel source materials are identified and included to represent these marginalised voices.

Flinn (2007:152) explains that, apart from the forces of postmodernism and social history, the growing diversity of mostly urban settings also sets in motion the quest to represent these ever-increasing varied voices.

Responding to the absences of these diverse narratives, and the pervasive recognition of a lack of concern from mainstream archival institutions, some individuals and communities have established and cared for their own archives. Flinn (2007:152) acknowledges this by suggesting that, in the unlikelihood of mainstream archives representing all the “many and varied voices” of society on their own, the development of community-based archives has provided a partial solution to the problem.

As opposed to an initiative set off by a mainstream archive or heritage institution, a community-based archives or initiative is one that has been inspired by community members and/or their representative community-based organisations. The holdings of these archives are managed by non-governmental community groups, which are independent of the state. These archives take on several forms such as ethnic, immigrant and special interest groups, regional interests, thematic or a common issue of interest. The community-based archives movement, which has found its strongest voice in the UK, is described by Flinn (2010:41):

“Community archives and heritage initiatives come in many different forms (large or small, semi-professional or entirely voluntary, long-established or very recent, in partnership with heritage professionals, or entirely independent) and seek to document the history of all manner of local, occupational, ethnic, faith and other diverse communities”.

Flinn (2010) continues his clarification of what constitutes a community-based archives by stating that they are usually established to represent populations that are underrepresented in mainstream archives, that the concepts of social justice, archival activism and equality often prevail in these archives, and they are very often owned and controlled from within the community, while others may be sponsored or receive assistance from mainstream heritage organisations. In addition, he explains that they are collections of materials gathered primarily by members of a given community and over whose use community members exercise some level of control. This allows for both collections that are sustained entirely independent of mainstream heritage institutions and those that receive some support in some form from such

institutions. However, “the defining characteristic of community archives is the active participation of a community in documenting and making accessible the history of a particular group” and on their own terms (Flinn, Stevens & Shepherd, 2009:71).

The report of the Community Archives Development Group (CADG, 2007b) gives further insight into the understanding of community-based archives by explaining:

“They are brought together by people sharing an interest in finding out about their community and how it developed. They preserve an account of the community’s past and present and often build on this to create awareness, interest and activity in the wider community”.

These community-based archives are not a new development but, over the last 20 years, the numbers have grown substantially. There are various reasons for this growth including an increasing awareness of and concern about absences and biases in mainstream heritage narratives brought about by the recognition of the significance of social history and the records that represent this history (Flinn, 2010:41). The author elaborates by observing that the growth of community archives “coincides with concerns that where public or government funded archives do contain material on those not from dominant sections of society, the material has tended to view them as objects”, rather than citizens and individual inscribers of records in their own right (Flinn, Stevens and Shepherd, 2009).

All the same, Lu (1993:84) points out that there have been many difficulties associated with the establishment of community archival programmes. As far as their records are concerned, these communities often imagine that the records they create only have direct administrative value, and have no use for others. Community members and their organisations also tend to be unfamiliar with what an archive is or what the purpose of an archive is. As a result, these organisations have never thought of establishing an archival programme for themselves. Often, after these records have served their administrative purposes, they are simply destroyed or abandoned. Moreover, for those community organisations that might establish some sort of

rudimentary archives or records programme, these are very often inadequate because many of the staff at these organisations are volunteers with no or little records management or archival skills. Singer (1997:3) also acknowledges the obstacles encountered by reporting that, while there have been enthusiasm and good intentions on the part of those communities that have begun to collect archival materials generated within their own communities, many of these initiatives have been “beset with shortages of money, human resources and professional knowledge and skills”.

As a final point on community-based archives specifically, the representation within the conventional archives of ordinary people – and in particular of individuals and communities of, inter alia, ethnic and immigrant groupings – is relatively sparse. Therefore, although not the only possible answer, the community-based archives movement may offer many communities, such as the South African Portuguese, a partial solution to including their voices in the national archival heritage. Furthermore, since these community archives contain unconventional sources that reflect the day-to-day life experiences which are often not contained in many mainstream archives, they may also offer alternative narratives which are more informative about the complexity and manifold identities of South African society in general, past and present.

However, as noted in beginning of this section, besides community-based archiving initiatives, there are also other approaches to collecting records, emanating from communities, their members and organisations. The literature features opposing views on how best to deal with community archival collections. As discussed in section 3.3.1.3, one of the main issues is that of custody and ownership. On the one hand, there are those that support the position that these materials should preferably not be held by the community but be handed over to, or acquired by, state or other mainstream archives, such as a national archive or university archives. On the other hand, as described above, there are those that advocate the establishment of totally independent community archival programmes by community organisations: that these communities keep these materials, with no intervention from mainstream archives and professional archivists. There are also those that

believe in a collaborative approach, for example, keeping the archives with the communities that create them. However, mainstream archives and professional archivists support the sustainability of these community archives by means of, *inter alia*, professional advice on archives and records management issues.

Singer (1997:2) also observes the distinct approaches to collecting community records, explaining that, while some government and university archives may have components which define themselves as community collections, their institutions are not exclusively dedicated to the acquisition of community archival materials or maintained within the framework of a cultural or ethnic community in the same way a community-based archives is. For these reasons there is a considerable distinction between community run archives programmes and community collections within public or university archives. Stevens, Flinn and Shepherd (2010:59) similarly recognise this debate regarding what may be referred to as the different approaches towards the custody and disposition of community records, by stating that materials created by community members and organisations may be sustained entirely independently of mainstream heritage institutions, they may be handed over to mainstream archives, or they may receive support in some form from these institutions.

The best approach to the above dilemma is not straightforward and will depend on a number of factors, such as the type of community organisation, the community's attitudes to and perceptions of mainstream society and 'their' archives, or the will and/or the ability of mainstream archives providing assistance in a given society. Respecting the preferences of these organisations regarding the disposition of their records, (i.e. whether they would rather keep their records at their site, with technical assistance from archivists, or accommodate these materials at an archival institution), is paramount. In some cases, for example, acquisition or support by institutions that have an interest or similar ideology as the community, may be a more appropriate solution (Karleback, 1996:129). It is also acknowledged that often it might not be a matter of choice, but of circumstance, such as a lack of

resources. Due to circumstances, at some point in their lifecycle, some community archive collections are transferred to mainstream institutions for better preservation.

In addition, authors such as Lu (1993:100) and Flinn (2010) explain, community members or organisations that may need some sort of collaborative support to manage their records and/or preserve their potential archival materials, will often not do so for a variety of reasons, the first of which being simply because they are unaware that they need such support or do not know where to find such assistance. Another reason pointed out by these authors is a lack of trust. As communities which are not fully integrated into mainstream society, these communities and the organisations that represent them, could be suspicious of mainstream institutions and therefore prefer to keep direct ownership and physical custody of their records. Additional motives involve issues of confidentiality, issues of accessibility and control of public access to records, the ideological and political stance of the organisation, and belief that these materials have a community identity and are therefore of interest only to that community (Flinn, 2007 & 2010; McDonald, 2008).

Authors Lu (1993); Flinn (2007); Stevens, Flinn and Shepherd (2010); and McDonald (2008) confirm and emphasise the observations of the above authors, affirming that archivists and other heritage professionals need to identify and build relations and engage with the community itself and the organisations that serve it. If possible, it is necessary to build trust with community organisations that may hold potential archival materials, and to take a proactive role in being involved in the care of these records from these organisations. Stevens, Flinn and Shepherd (2010:64) elaborate on these possibilities, by explaining that, besides community members and community-based organisations that either establish a community archive independently with no intervention, or have none, or seek none, or resist the establishment of any archival collections or any collaboration, there are a number of collaborative possibilities for those communities that are receptive to some sort of partnership.

These collaborative initiatives include custody, collection, dissemination, advice, consultancy, and outreach and marketing the value of these collections. In the case of custody, mainstream archives support these community organisations in securing the long-term future of their collections through a range of flexible custody arrangements. With regard to collection, the engagement may entail support with gathering material and filling in gaps in their collections. Another key issue is brought up by Neal (2002:35), who notes that it is important from the outset to determine whether the documentation project intends to be a plan formulated to assure the documentation of a specific community issue or event of limited duration and therefore not an ongoing activity, or if the project is meant to encourage continuing growth of a collection of archival materials relating to a community.

Flinn (2007:168) therefore suggests that different existing archival frameworks or models need to be considered, for caring and preserving these materials. For example, the stewardship and post-custodial models may be appropriate in certain instances. As explained in section 3.3.1.3, these approaches support the premise that the custody and care of the collections do not necessarily occur in the formal archive itself, but are distributed within the creating organisations. Authors such as Momryk (2001:151-174) and Keough (2002:241-251) go on to say that mainstream archives can also offer their support in dissemination of the community collections, by means of, for instance, exhibitions and event organisers. In addition to these, one of the most useful services mainstream archives can offer communities is training in archive skills and advice on matters such as preservation, digitisation and documentation. Lastly, just as community members and organisations may gain from the advice of mainstream archives, so the latter may look at the community members and organisations as sources of specialist knowledge. This can be knowledge about how to access a particular community for collections to fill the gaps of mainstream archives, or it may be subject specific, or both.

Archival collecting initiatives of community records often encounter many obstacles and have therefore sought many approaches to try to overcome



these. Therefore, for the purposes of this study, when seeking strategies for safeguarding the records generated by the Portuguese community-based organisations in South Africa, all these approaches are considered with a view to determining the best possible archival collecting framework for the community. To conclude this section, the view of Stevens, Flinn and Shepherd (2010:61) may be fitting here. These authors point out that, no matter what the approach, success may still depend on a degree of archival activism – highlighted in section 3.3.1.5 – and the enthusiasm and commitment of a few strategically placed individuals within these communities or community organisations, and/or on a few archivists and heritage workers that recognise the potential importance of these diverse community histories and social memories.

#### 3.3.1.8 ICTs, the Internet, digital community archiving and how these may impact on documenting the under-documented

A further significant development that has impacted on documenting the under-documented and related practices such as community archiving is the advent of the Internet and other related information and communications technologies (ICTs). Just as in the paper-based environment, there have also been varied approaches to documenting the under-documented in the digital context. Some initiatives have been like that of an independent community archives approach, while others have been initiated by larger mainstream archives. Because of similar problems encountered in the paper environment, such as a lack of resources, many community-based archival programmes also often have to seek a collaborative approach to their digital archiving, resulting in collaborative digital archiving projects that include mainstream repositories assisting smaller community-based initiatives, and so forth.

Daniel (2010:99) notes that new opportunities have opened up for 'multicultural archiving'. Web technologies enable collaborative undertakings which make it possible to create, publish, share and exchange an array of documents, "thereby developing collaborative digital libraries and archives that can better than ever reflect the values and debates within and between cultures". Daniel (2010) refers to a number of examples of community focused

digital archives such as the South Asian Web, a cooperative digital archive for and about the South Asian immigrant population in Los Angeles, and the British National Archives which has set up an experimental website, 'Your Archives', encouraging viewers to post stories of migrations to England over the past two centuries and explicitly trying to "overcome barriers to the direct involvement of minority ethnic groups in recording and documenting their own history of migration".

Flinn (2010:39) also examines the impact of technologies which are encouraging individuals and community-based organisations to create and share their own historical content. He notes that, at the same time, more archives and heritage institutions are experimenting with 'participatory technologies' by allowing their communities of users to submit content to collections, so-called 'community generated content'. Flinn goes on to explain that there is no doubt that the numbers and the form of these initiatives have also been greatly affected by these technological developments. In contrast to the traditional community archives, where the focus is on the physical space as a centre for the preservation of their collections, many contemporary community archives use the web to share their resources amongst their communities and beyond. "The development in the late 1990s of software like 'Comma' which supported the uploading, tagging and sharing of digital images (most frequently photographs), helped to popularise the whole notion of digital community archives, particularly amongst local history groups" (Flinn, 2010:42).

Flinn (2010:43) also notes that these initiatives are permitting more collaboration and participation, "not only allowing individuals to upload content but also to comment, enhance and correct the content and descriptions shared by others". Heritage organisations including archives are seeking to encourage user communities to submit content and knowledge, including material relating to the description and understanding of their collections via social and participatory software. Some go as far as to suggest that preserving blogs from underrepresented communities should be considered.

Daniel (2010:100) however, warns that the success of many such initiatives is that they depend mostly on the interest of their users and the kind of content they choose to contribute. Flinn (2010:39) observes that there are challenges presented by community web archiving and related technologies, and that these are not new, but reside in the same traditions of social history or “history from below, oral history and many other attempts to give recognition to ‘less heard voices’”. These problems relate to issues such as encouraging active participation rather than just passive viewing and whether the content contributed is reliable and trustworthy. The author therefore questions how individual institutions can ensure that their patrons’ vital content is preserved, when it’s appropriate and useful to do so.

Then again, Flinn (2010:47) does observe that, despite these difficulties, there are benefits in what he refers to as the “democratisation of the meaning and understanding of the content and context of these archival collections”. As was emphasised in section 3.3.1.4 on participatory archiving in a traditional environment, in digital participatory archiving environments, the role of individual archivists is not to assert that their professionalism may give them the authority to fully and absolutely appraise, arrange, and describe a collection, but to open up to the idea or the possibility that community members may have expertise which may at times even show a better understanding of what records need to be collected and a greater appreciation of the context of their creation.

In addition, Web 2.0 technology, also known as social media, which is used to describe the various websites, services, and platforms that archives use to promote their collections and facilitate interaction with their users is also recommended for community archiving (Thorman, 2012:2). The staff members of smaller community archives such as the Jewish Women’s Archive, Seattle Municipal Archives, and the Los Alamos Historical Society have taken it upon themselves to utilise Web 2.0 technologies as well. The Jewish Women’s Archive is a non-profit community archive in Massachusetts. Its staff has used Web 2.0 technologies to strengthen their community involvement among Jewish women for several years. They had already

established a blog and Facebook presence before attempting to utilise Twitter®. From 2008 to December 2010, they posted more than 1,700 tweets, and their Twitter feed attracted 2,400 followers, which led to a slight increase in readership of their blog. The gay community in New York has also started using Web 2.0 technologies by collecting its history through a wiki at OutHistory.org, hosted by the Graduate Center of the City University of New York (Thorman, 2012:6-14).

Finally, as observed in the discussion above, although ICTs may present some challenges, they also offer new opportunities for documenting the under-documented, community archiving and related practices. The fresh impetus provided by these technologies can be used to support and encourage endeavours such as the proposal to safeguard the organisational records – and the social memories these hold – of the Portuguese community in South Africa. Possibilities are innumerable and include, inter alia, creating a website and a web presence for a community archiving initiative, digitisation of community records and the creation of a digital community network website for instance, where community-based organisations can submit, disseminate their content about themselves, and share archival records with community members and a wider audience through participatory software.

#### 3.3.1.9 Concluding comments on the above developments abroad

The developments discussed above have had an encouraging effect on documenting the under-documented and associated practices abroad. However, although the archival and related literature reviewed above increasingly points to the importance of developing archival systems that can represent multiple recordkeeping and archiving realities, which recognise communities and community organisations as creators of potential archival materials, Van Wingen and Bass (2008:577), acknowledge that, to date, this reorientation has not been comprehensive enough in practice. Consequently many mainstream archives still focus their collecting approaches on records of 'national significance' or those representing power and government. These records are often perceived as representing the 'true' or authentic history of a nation. Cook (2000:169-181) supports this by criticising the continued

approach of archives that privilege official documentation of the state over that of individuals or private organisations and communities. McDonald (2008:4), examining the importance of documenting under-documented or underrepresented communities, expresses her concern regarding the approach that many archives still have. The author emphasises the need to continue reorienting collecting approaches, explaining that “there is an ethical and professional imperative to turn from this course to actively seek out the documentation of those heretofore unlocatable, hidden, silenced or marginalised populations.”

Finally, Flinn (2007:152) maintains that, although archival literature and professionals recommend that archives should be based on “many and varied voices”, in reality the mainstream or formal archives sector still lacks records on many communities and does not contain the voices of the non-elites, the grassroots, the marginalised. “Or if it does it rarely allows them to speak with their voice, through their own records. There are logical reasons for this, not least in terms of the key administrative and organisational purposes (and biases) of most archival services.” He therefore argues that reversing the absences of certain communities from a nation’s memory and history is thus imperative, and that it is in the interests of not only of the particular group concerned, but of all. Flinn (2007:152) finishes off by stating that black history, gay history, Jewish history, immigrant history, ethnic history, amongst others, are “... not only important for those groups, but impact on all our stories, and together they make up an inclusive national heritage, our national histories”.

To conclude, the above discussion of concepts, theories and principles expresses a variety of ideas that support the quest to document the under-documented and to engage in related practices. Many of these have been inspired by the postmodern discourse that has entered the archival domain in last few decades. Equally they have been influenced by the growing interest in social history in the archive. Although the numerous concepts discussed above may seem like an assortment of different views that have impacted on the endeavours to document obscure and neglected communities randomly,

they all in fact point to a common theme, and a 'golden thread' is evident in these multiple viewpoints.

These concepts – total archives, a national archival system, ethnicity as provenance, stewardship approach to custody, archival activism, documentation strategies, participatory and community archiving, and so on – all speak of and highlight the absences of certain voices in the archival heritages of societies, and the need for an alternative and more inclusive historical narrative which challenges and/or supplements the one constructed by the dominant or mainstream, and thus strives to reflect society as a whole. They therefore – explicitly or implicitly – call into question the objectivity and neutrality of the archiving process, they interrogate the “Who is being documented and by whom?”; “What is being documented?”; “Why are certain voices given privilege while others are ignored?”; “Where best are these archival records preserved?”; and finally, how to reverse the absences of those narratives that have been excluded from the archives.

In short, these concepts and theories, and the discourses and practices they have generated, encourage the pursuit (or the ideal) of an inclusive archival heritage, such as that of incorporating the contemporary social history and experiences of the Portuguese community and they support the means to achieve this – if not in its totality – at least gradually one step at a time.

### **3.3.2 Developments in Africa**

A review of the African literature on documenting the under-documented and related concepts and practices revealed only some exploratory research into themes and communities that were marginalised – especially in the aftermath of colonialism – in Africa's documentary heritage. Although limited, these discussions do recognise that the underrepresentation of some groups of society in the archives is a reality in Africa. For instance, Ngulube (2012:9) notes the following:

“Archival traces of the ordinary person were limited. Let alone the archival traces of the indigenous people. Indigenous people can never imagine constructing their family histories from the archives as such records do not exist. The records were not created by the indigenous

people. The indigenous communities appear in the colonial archive in the context of their relations with the state. They feature in statistics, crime reports, census reports and patients case sheets, for instance”.

These official records do not reflect fully the real-life experiences of the marginalised. Nevertheless, there have been some developments towards safeguarding the history and experiences of under-documented communities and themes in certain African countries. Resembling what is observed in the South African literature reviewed in section 3.3.3, these developments often deal with the past from the theoretical perspective of post-colonialism, focusing on attempts to establish historical truth and collective memory for groups or communities who have often been marginalised and excluded from dominant accounts of history in the context of a colonial framework. These efforts emphasise the need for the archive to attempt to overcome the traces of colonialism that persist through forms of knowledge production. They also question the place of the archive and history in post-colonial Africa. African archivists often see this post-colonial approach as “a unique opportunity to begin the process of constructing a new archive with interpretive possibilities different from those offered by existing collections, especially official ones” (Isaacman, Lalu and Nygren, 2005:55-57).

In addition, similar to some efforts in South Africa, these developments and endeavours most often concentrate on oral history projects, preserving intangible cultural heritage, or other proposals which include non-traditional archival objects. This is also observed by Ngulube (2012:12), in his investigation into the archives of Zimbabwe, “... documentation projects to document the underrepresented are nonexistent. It is left to the oral historians to give the undocumented a voice in the archive”.

Indigenous knowledge (IK) is another form of underrepresented community heritage that has also been given some attention in African countries. Anyira, Onoriode and Nwabueze (2010:2) assert that IK “... can be broadly defined as the knowledge that an indigenous (local) community accumulates over generations of living in a particular environment. This definition encompasses technologies, know-how, skills, practices, and beliefs that enable the

community to achieve a stable livelihood”. However, similar to safeguarding oral traditions, the protection of IK also often depends on ‘non-traditional’ archival objects and methods of preservation. Anyira, Onoriode and Nwabueze (2010:2) explain that IK is transmitted orally from generation to generation, it is collectively owned and exists as “stories, songs, folklore, proverbs, cultural values, norms, beliefs, rituals, local languages, and agricultural practices”. IK is often communicated through family members from the older generation to the younger and, as a result, it may get lost because of cultural homogenisation and the ‘death’ of indigenous people (Onoriode and Nwabueze, 2010:2). Therefore, techniques to conserve IK have become reliant on methods such as recording interviews of resource persons, using cameras to capture indigenous information and so on.

Like some of the developments observed in South Africa in section 3.3.3 of this chapter, the initiatives in African countries that collect records considered to be ‘traditional archival objects’, such as organisational records and other traditional archival records, are often those that attempt to bring the untold stories – and to document the under-documented topic – of the liberation struggles into the archives. This is implied by various authors such as Isaacman, Lulu and Nygren (2005:56) who explain that it is “important to shift emphasis from a narrow formulation of victors’ narratives to more nuanced and inclusive histories of struggle – histories that do not simply reproduce the dominant nationalist narrative”.

According to Garaba (2010:28) the struggle to liberate the continent of Africa from colonialism was a profound one for Africans during the twentieth century. “The struggle for liberation that led to the attainment of national independence and the birth of new nations was a result of a protracted struggle by different movements that had the one common objective of dismantling settler colonialism”. Garaba (2010:28) goes on to say that “... as such this history needs to be documented accurately in whatever form for the benefit of posterity”. The author explains that “African states hosted freedom fighters from Algeria in the north to Lesotho, Swaziland and Botswana, closest to the then apartheid South Africa. Many organizations supported the struggle, both



within Africa and across the world and this points to the fact that records of these liberation movements were scattered” (Garaba, 2010:29).

Garaba (2010:62) further elucidates: “Records of former national liberation movements have been neglected and this needs redress considering that the struggle for emancipation signifies an important epoch in modern history”. The author then goes on to say that these “black heritage resources have not only been marginalised but are scattered all over the world”, and that it is possible that many records were not created as a result of the ‘ethos of secrecy’ surrounding the liberation movements. “Consequently, it is incumbent upon archivists to preserve the legacy of the liberation struggle that is contained in those few records that were created” (Garaba, 2010:29-30). Garaba (2010:30) therefore posits that “... the scarcity of documents to have survived the turbulent process of the anti-colonial struggle and subsequent conflicts, largely explains why researchers and many institutions are increasingly concerned about the need to protect and conserve written and oral sources of information on the liberation struggle in Southern Africa”.

Isaacman, Lalu and Nygren, (2005:56) also note that there is the remaining challenge not only to document the important events and figures of the liberation movements but also to encourage the inclusion of the narratives of

“... the struggles of workers and peasants, women and men, old and young, who sought to subvert systems of oppression and elaborate political concepts of change. The task is not merely to create another storehouse of documents, but to enlarge the field of what can be said on the topic of the history of the struggle for freedom”.

Garaba (2010) offers various examples of initiatives to document these liberation movements. These include the Tchiweka Documentation Centre in Angola which is a private repository documenting materials collected by Lucio Lara “in order to preserve and inform about the history of the liberation struggle in Angola” (Garaba, 2010:68); the Swapo Party Archive and Research Centre (SPARC) (Garaba, 2010:77) which was started with the aim of collecting, recording and preserving the history of the Swapo Party; FRELIMO’s party headquarters which house the liberation struggle archives

of Mozambique; and the ZANU PF Archives which contain the records of ZANLA's military wing.

In addition, recently archivists in Africa have begun various efforts to preserve, digitise, and disseminate on the Internet collections of documents on the struggles for freedom. Among the most significant undertakings are the History of the Liberation Struggle in Southern Africa project, The University of Connecticut-African National Congress Partnership, the African Archivist Project at Michigan State University, and the Nordic Documentation on the Liberation Struggle in Southern Africa. "Although differing in geographic scope, scale, and internal structure, all these projects share a common objective: to ensure that the record of this moment in world history is not lost to posterity" (Isaacman, Lulu and Nygren, 2005:56). These examples of documenting the under-documented in Africa are discussed in greater detail in chapter four.

Without in any way reducing the significance of these initiatives and the gains made thus far, in general however, efforts to document the under-documented in Africa – especially those not related to non-traditional archival objects such as oral history, and those not associated with political liberation struggles – are minimal. Recognition and support for an inclusive archival heritage – which incorporates the day-to-day narratives of ordinary citizens or the records of neglected social groupings such as immigrant and migrant communities in Africa, religious, ethnic, linguistic and indigenous minorities, and so on – are still limited. This is also pointed out by Ngulube. Ngulube (2012:15) indicates that there are still various factors undermining the preservation of a representative archive, including the scarcity of funds, a 'brain drain', technological inadequacies and pressures, dependence on archival methods developed in the West, the limited number of historical societies and professional associations, and an absence of debate within African mainstream archival discourse surrounding the issues of inclusive representation and the under-documented.

In a similar way, Tough (2009:187-188) posits that recent international archival discourses, such as postmodernism, and the transformation debates

generated in post-apartheid South Africa have not yet been wholly recognised in the rest of Africa, and may not fully "... 'fit' with the experiences of countries north of the Limpopo". One may also assume that this might have an impact on these countries' view on documenting the under-documented and related practices, which are largely influenced by these discourses.

Finally, the observations made by Murove (2003) in his article on preserving collective memory in post-colonial Africa are pertinent here. Murove (2003:14) asserts, "Critics of the post-colonial archival tradition are deconstructionists in the sense that they are critical of what is preserved in the archive – they are suspicious of the authenticity of that memory". The author goes on to say that the archive is not an institution that preserves all that has transpired in society – "... many issues that have been said by many people in the course of history do not necessarily appear in the archive" (Murove, 2003:14). However, Murove (2003:19) argues that there is a need to move from only 'deconstruction to the reconstruction' of the post-colonial archive: "African post-colonial reconstructionism aims at revitalizing the archive by recapturing the African past". The author therefore concludes that, without an African reconstructionist paradigm, the archive as it stands today – "as a reservoir of memory" – will remain incomplete, and will not incorporate an inclusive African collective memory (Murove, 2003:19).

### **3.3.3 The South African environment**

Unlike the international literature reviewed, where extensive research was revealed on the topic of documenting the under-documented and related practices, a review of the South African literature, on the other hand, revealed only some exploratory research into the need to fill the gaps in archival and other collections of themes and groups that were marginalised in this country's documentary heritage, due primarily to apartheid, but also to colonialism, as was observed in the rest of Africa section (section 3.3.2). These studies are mainly in the form of short articles that make readers aware of such a problem and mention the need to document these topics and communities.

However, these studies are neither in-depth explorations of the implications nor do they offer possible actions or strategies and practical solutions that may or should be espoused to improve this situation (Field, 2007; Harris, 1997; 2002; 2005; Hatang, 2004; Josias, 2011; McEwan, 2003; Sachs, 2006; and Stevens, Duncan & Sonn, 2010). These studies tend to focus on a specific definition of underprivileged groups, overlooking other groups that may also have had, or have, their histories underrepresented in the national documentary heritage of South Africa, such as certain linguistic groups or minority and immigrant communities. In addition, the domestic literature seldom refers to organisational records as a means to preserve the social memory and history of underrepresented communities, tending rather to focus on non-traditional archival means, such as intangible indigenous knowledge, heritage objects and oral history projects. What is more, attention is predominantly on under-documented themes and localities such as 'liberation struggles' and 'rural areas', and not on under-documented communities or groups, such as immigrant groups, which are at the heart of this investigation.

Although it is not the aim of this section to give a historical account of archives in South Africa (detailed accounts of this nature are reported in the literature by, amongst others, Saleh, 1993; Callinicos and Odendaal, 1996; and Harris, 2000), the history of archives and heritage institutions and the developments in documenting the under-documented in South Africa cannot be dissociated from past developments in the archives field. The literature reveals that, similar to the international situation, for most of their history, South African institutions of preservation, such as archives, also focused their collecting efforts on documenting the perspectives of the more prominent individuals and dominant communities of society, or those that were and are represented in the positions of power or government, often overlooking the history of others. This is recognised by the National Archives and Records Service of South Africa that suggests that it is necessary to "fill these gaps by bringing into the archives the stories and narratives which reflect the experiences and memory of those South Africans that had been marginalised in the contestation of social memory and the nation's experiences" (NARS Official Webpage, 2012).

Harris (2000:7) elaborates by explaining that the archives and heritage institutions, like all public institutions in South Africa were “shaped profoundly by the Apartheid system in terms of which the country was governed between 1948 and 1994”. According to Harris (2000:8), the government during the apartheid period – like any other government had control over social memory, “... a control which involved both remembering and forgetting ... . By their silences and their narratives of power, their constructions of experience, apartheid's memory institutions legitimised apartheid rule. A vast, simmering memory of resistance and struggle was forced into informal spaces and the deeper reaches of the underground. Outside the country, the liberation movement and their support networks documented their own activities and gathered – both formally and informally – the memories of exiles and those remaining in South Africa. Many prominent anti-apartheid activists and researchers deposited archival materials with institutions located in Europe and the USA”.

Harris (2000) goes on to say that oppositional and alternative voices were often silenced, erased or destroyed. Records destruction by the state encompassed not only public records, but also many non-public records of individuals and organisations.

This focus, especially of the state or government and other mainstream archives in South Africa and their holdings on the narratives of power, resulted in a lack of archival heritage of many groups. These under-documented groups may be defined across many dimensions including gender, culture, race, ethnicity, nationality, class, politics, sexuality, and many other dimensions. Harris (2002:73) points this out by stating that experiences of the black indigenous populations were poorly documented, and so were the voices of women, the disabled, and other marginalised groups. Sachs (2006:3) also suggests this when referring to his search for records on the liberation movements during Apartheid: “... the only references to us ... in the documents that claim to be neutral, are to us as terrorists. ... On the other hand our own story of ourselves is not there at all.”

However, Harris (2000:10) argues that the depiction of apartheid's archival system as "one controlled by whites, preserving records created by whites, and providing services to whites, is an oversimplification". It fails to see the role played by black bureaucrats, including archivists in the bantustan administrations and, from the 1980s, in black local authorities, 'own affairs' administrations and other branches of the state. It also fails to notice the growing numbers of black users of archives during these years, and furthermore it does not take into account the surfacing in the 1980s and early 1990s of institutions dedicated to "giving voice to the voiceless" through archival collections. During the 1980s an increasing number of anti-apartheid organisations and individuals began depositing archival materials with collecting institutions, particularly university libraries. Significant accumulations were collected by, inter alia, the Cory Library at Rhodes University and the Gandhi-Luthuli Documentation Centre at the University of KwaZulu-Natal.

As the apartheid era drew to a close, a transformation discourse quickly emerged in the archives profession during the 1990s. This discourse was informed by the belief that archives called for redefinition, more exactly reinvention or refiguring, for a new democratic South Africa. Since then, a growing number of institutions, especially non-public institutions, have been committed to filling apartheid-type gaps in social memory. They have contributed significantly to the transformation discourse and have played an important role in revealing an alternative archival practice. Many of these initiatives rely primarily on oral and other non-traditional archival channels to communicate their heritage, such as preserving intangible cultural heritage and preserving indigenous knowledge, and as a consequence many oral history projects have been established. In addition, numerous initiatives have been launched to capture the untold stories of the political struggles for freedom against colonialism and apartheid, such as the Apartheid Museum and the Mayibuye Archives. These archival programmes consequently focus on those individuals and organisations that have contributed to the liberation struggles.

Apart from non-public institutions, “More recently, the National Archives has also secured the credibility to participate in this endeavour. Bringing the hidden, the marginalised, the exiled, the ‘other’ archives into the mainstream” (Harris, 2000:11). Furthermore, Hamilton, Harris and Reid (2002:12) remind us that, to a degree, there have always been marginalised voices in mainstream institutions such as the National Archives. They explain that the marginal lives are by no means totally absent from the mainstream archives but, as records of the state, they need be reinterpreted in order to give them new meaning that may hint at the social history and actual day-to-day life experiences of these ordinary citizens and marginalised communities. They give an example of the records of South African police surveillance of gay get-togethers in the 1960s. Although these records are from the perspective of government, they go on to say, “What is required here is a sensitive and informed rereading of existing archival materials. While the materials were initially compiled for a very particular police function, the materials may also be read creatively, against the grain” (Hamilton, Harris and Reid, 2002:12).

The new mandate of the National Archives and Records Services of South Africa Act, which encourages the National Archives to collect records not only of government, but of non-public records as well, goes a step further however. It indicates a policy commitment from the state archives to actively identify existing gaps in the country’s documentary heritage, and to actively seek these ignored voices from their perspectives, by including relevant non-government materials (South Africa, 1996b: sections 3 & 14). As regards these materials, the Act explicitly affirms its concern with the issue of the care of private or non-public records. These concerns led to the inclusion of specific clauses that deal with non-public records in the new National Archives Act of 1996. According to the Act, sections 3(a) and 3(d), the key objectives and functions of the National Archives include to “preserve public and non-public records of enduring value for use by the public and the state”; and to “collect non-public records of enduring value of national significance which cannot be more appropriately preserved by another institution, with due regard to the need to document aspects of the nation's experience neglected by archives repositories in the past”.

Harris (2002:75-76) argues that theories and debates influencing archives internationally – such as social history, the postmodernist discourse, and ‘post-custodial’ approaches to archival collection – also brought about the emergence of archives that have been committed to filling gaps in the country’s social memory, and telling the stories of some of these underrepresented groups. However, in their publication *Refiguring the archives*, Hamilton, Harris and Reid (2002:10) caution that, although it is important to refigure, deconstruct and reconstruct the archive in South Africa – especially in view of its historical colonial and apartheid bias to include the voices that have been suppressed or overlooked, one should be “wary of the claim that one or another corrective intervention can fill the gaps in an archive” comprehensively. They go on to explain that the very idea of a discernible gap is problematic, “with the archive being stressed as a ‘sliver’” or only a slice of a nation’s memory which can never really achieve a whole or complete picture that reflects society in its entirety.

Similarly, Rowolt (1992) questions whether all the activities of any community, the full nuances of its experiences can ever be adequately preserved: “Can we ever say that the future will discern our own present as we know it?” That does not mean though that the idea of including marginalised voices in South Africa’s archival heritage should be abandoned. The author points out the obvious – that collecting and permanently preserving all narratives and all records that are created by humanity is an impossibility yet he still recognises that archives should attempt to ensure the fullest possible depiction and representation of these diverse narratives in the country’s documentary heritage in a fair and equitable manner.

As with the case abroad, Harris (2002:78) also notes that the reorientation towards seeking and including the narratives of under-documented communities in South Africa has not gained enough real or widespread support, and therefore the drive towards creating an equitable and representative archival heritage has not been comprehensive. Although there have been several endeavours – especially in the form of non-traditional archiving efforts such as oral history projects and initiatives that attempt to



bring the untold stories of the liberation struggle into the archives – various other under-documented elements, such as smaller communities and social groupings, continue to be underrepresented and under-documented in our archives and other institutions of preservation. These include a range of groups, such as the diverse ethnic, indigenous, immigrant, religious, linguistic and other minorities that make up South Africa. Although South African archives occupy “several thousand linear meters of shelf space”, the contribution of the materials of these communities to the nation’s memory and their reflection of human experiences are fundamentally skewed (Harris, 1997 & 2002). This is also implied by Josias (2011:107), who explains that, although many archival initiatives include different forms of projects to construct and preserve the collective or social memory of groups and communities that have been neglected in the past, this construction is not complete, since it is an ongoing process. The memory landscape of any society is forever changing, and therefore the construction of new collective memories needs to be a continuous process of sustained “remembrance and debate”.

Other authors such as McEwan (2003) also recognise the need to continue constructing a more inclusive social or collective memory in the archive in South Africa. They explain that, since the end of apartheid, the state, civil society and ordinary people have attempted to deal with the legacies of the past with a view to creating a common sense of nationhood. McEwan (2003) examines this process of dealing with the past through the theoretical lens of post-colonialism, focusing on attempts to establish historical truth and collective memory for groups or communities who have often been marginalised and excluded from dominant accounts of history. Although McEwan’s (2003:739) article discusses black women in particular, she does emphasise the need to create a more inclusive process of restoring collective memory in general, and “the importance and possibilities of creating a postcolonial archive, where the voices and texts of historically marginalised people can be incorporated into national projects of remembering and notions of belonging”. The author concludes by explaining that representations of the past are valuable tools for tracing the ways in which the legacy of a group’s

belonging and social standing shape their contemporary citizenship, and that the potential of such archives is that they can work towards social justice and the broader processes of nation building.

In the same way, Harris (2011:114) – in his discussions on Jacques Derrida’s legacy on “archives for justice” in a deconstructionist framework – also asserts the importance of persistently heading to a more inclusive and just archives in a post-colonial and post-apartheid environment. He explains that, in South Africa, in order to achieve justice in the archives, it is necessary to unravel existing narratives. This implies that the archivist is not a partial custodian and, as such, needs to counter the dominant narratives and construct new ones by creating spaces for the voices that have been repressed or disregarded. He concludes by contending that it is an ethical imperative to do so. Stevens, Duncan and Sonn (2010:24) similarly explore the need for post-apartheid South Africa to expand the archive by including the voices of “marginalised groups and subalterns” and recognising “the need for a range of data forms to populate this expanded archive”. They maintain that the focus of South African archives on the official narrative has resulted in certain omissions of the historical content of the archive, and that this may compromise the country’s ability to examine the ongoing effects of its racialised past. They therefore argue that expanding the archive to include these alternative narratives is a political and psychological act which may have a ‘liberatory praxis’ (Stevens, Duncan and Sonn, 2010:24). They go on to say that this act is an evolving and dynamic process that “allows for greater inclusivity; respects diversity; facilitates historical reclamation and democratisation; intersects with decolonisation methodologies and processes; and surfaces new modalities and interdisciplinary ways of knowing and understanding” (Stevens, Duncan and Sonn, 2010:8).

In addition, discussions and practical initiatives regarding representation, documenting the under-documented and related topics are still not often discussed in open arenas in South Africa. Research into trying to determine whether mainstream archival institutions such as university archives have a desire to fill archival gaps – or whether they have policies that support such

initiatives – are largely absent. Similarly, interest in investigating the practices of independent community archiving endeavours also seems to be lacking. Even the National Archives and Records Service of South Africa Act which, from a legal perspective, now recommends the involvement and acquisition by the National Archives and Records Service of public and non public records, is limited to what the National Archives deems to be records of ‘national significance’. Harris (2005:178) therefore presents the following recommendation when referring to the under-documented: “The structural pull in all record making is towards the replication of existing relations of power. Archivists cannot avoid complicity. But they can work against the pull; and for me it is a moral imperative to do so”. Furthermore, Harris (2002:80) advises that an alternative vision for collecting by archives is necessary. He continues by saying that our archives should not only collect “society’s pinnacles”, but should also embrace the concept of the total archives, by complementing the holdings of mainstream archives by fillings of its gaps, and that collecting strategies should also be driven by the post-apartheid imperative of “giving the voiceless voice”.

Finally, referring to the social responsibilities of archives, Field (2007:17) also supports South Africa’s need to continue its progress towards incorporating the narratives of underrepresented groups in its archives – such as that of the Portuguese community – in order to build a more inclusive archive. He explains that there is a need to deepen democracy and reconciliation across the ‘racialised’ cultural differences in South Africa, and that “... the public presentation of diverse and multilingual voices in archival collections will strengthen human rights not merely as rhetoric, but as lived principles”.

### **3.4 Summary of chapter three**

The literature reviewed in this chapter provided the theoretical framework for this study – based largely on postmodernism and social history – which underlines the importance of having a representative archival heritage and the need to document under-documented communities, such as the Portuguese community. This was then supported by a review of relevant international and

national literature, which analysed the issues relevant to under-documented communities, community archives and related concepts.

This chapter also included a review of the developments in archival principles and practices that have had a bearing on documenting under-documented communities and related concepts, such as the total archives concept, the records continuum model, archival activism, documentation strategy and the stewardship approach to custody. Literature directly related to documenting under-documented groups, such as immigrant and ethnic communities and community archiving – in the international context, in Africa and in the South African environment – was also examined. In short, the literature review presented the groundwork for the study's research objectives and the interpretation and presentation of the data.

The review for this study also assessed examples of national and international initiatives that have been undertaken in South Africa and abroad to develop collections of under-documented communities and community archives, with a view to determining best practice in working towards a more inclusive documentary heritage of a diverse nation such as South Africa. In the next chapter, examples of these programmes initiated in South Africa and abroad are discussed.

## **CHAPTER FOUR: EXAMPLES OF ENDEAVOURS TO DOCUMENT UNDERREPRESENTED COMMUNITIES, COMMUNITY ARCHIVING AND RELATED INITIATIVES**

### **4.1 Introduction**

Based on an analysis of relevant websites, this chapter synthesises and presents examples of initiatives that have been established – in the international context, in Africa and South Africa – to collect, manage and preserve records of under-documented groups, concentrating especially on those that focus on gathering records of immigrant, ethnic and other similar communities. Furthermore, the initiatives reviewed in this chapter are mainly of archival programmes and projects that include in their collections community-based organisational records as a means of safeguarding community histories, since this is at the centre of this study. These initiatives were examined so that best practice in documenting under-documented communities and related programmes and projects could be determined.

The websites selected for this study were chosen, based on the following criteria: relevance to this study: whether the websites would be able to provide and generate pertinent information that would assist in answering the research questions that were being pursued for the study; the amount of information available on the website regarding the initiatives being undertaken by these organisations; the significance of the initiative, for example, when comparing two initiatives in the same country documenting the same community, the more established one would be selected for this study; and lastly, how well maintained and up-to-date the website was. If available – and when deemed necessary – literature which reported on these initiatives was reviewed as well, especially if additional pertinent information was provided or if it supplemented the information provided on the websites being examined.

The chapter further presents a comparison matrix (see Table 4.1) – based on the websites (and literature) reviewed, as presented by the various South African and international organisations involved in initiatives to document under-documented communities and related practices. The matrix aims to identify components that are similar in all these initiatives, and those that are

unique. From the matrix, a checklist was compiled to cover these various components. This checklist formed an important source for the types of questions that were to be pursued in the interviews at the various Portuguese community-based organisations selected for this study in Gauteng.

What became more than evident from the websites reviewed is the wide variety of approaches and opportunities in documenting the under-documented, creating community collections and related practices. Certain countries had a slant or 'preference' towards a certain approach, but even in these, various approaches exist.

#### **4.2 International initiatives**

As observed in the previous chapter, to achieve a more representative archival heritage, some mainstream institutions of preservation have aimed at documenting under-documented groups and, at the same time, community members and community-based organisations have established independent community archives, while others have sought a collaborative collecting approach, with the formation of partnerships between communities and the formal archives and heritage sectors. The international websites reviewed confirmed this, with a number of examples of such initiatives, projects and programmes to document underrepresented groups being represented.

The United States (US), the United Kingdom (UK), Australia and Canada are reviewed in this first section of international initiatives, because these countries have established a wide range of programmes to document the under-documented. In addition to that, these countries have a visible presence of such initiatives on the Internet. Another consideration when reviewing these particular countries was the issue of language. Countries such as France, Sweden and many other European countries also have an interest in documenting the under-documented, but their initiatives are usually presented in the languages of these countries, making it difficult for the author of this thesis to review their websites.

#### **4.2.1 Initiatives in the United States**

As mentioned in the previous chapter, theories such as postmodernism and social history had an impact on the practices of institutions of preservation, such as archives, in terms of documenting the under-documented – especially in the United States – where many of the debates on the archival relevance of these theories were most active. In addition, the report of the United States Citizenship and Immigration Services (2006) also points out that in the last hundred years, the population of the US has increased enormously. Part of this growth was due to various and continuous waves of immigration from Northern, Southern and Eastern Europe as well as from Japan, China, Central and South America, and Africa – each representing a variety of religions, cultures and languages. The report (United States Citizenship and Immigration Services, 2006:1) further highlights the country's diversity by stating that "... the immigrant population in the United States has grown to a record 33.5 million people, representing 12 percent of the U.S. population". Furthermore, the population became urbanised – in these cities a highly culturally diverse society was quickly formed. Archives, and other institutions such as libraries, responded to this diversity in various ways, including the provision of collections, services and programmes to cater for the needs of these diverse communities.

The United States has without any doubt the largest array of examples of collections and programmes to document the experiences of these diverse immigrant and ethnic communities reported in the literature and represented on Internet websites. These include initiatives driven by mainstream institutions, especially universities, initiatives managed by community organisations themselves, and collaborative projects. However, it is impossible to report on all of these at length as there are literally hundreds of such examples. The initiatives that have been reviewed are a random selection of those that had visible websites, up-to-date websites representing them, and provided substantial information, such as their history, their mission, their collections and their activities. These were also selected for providing insight into the different possible approaches to such collecting efforts. Where possible, information that highlights important characteristics of

these initiatives, including the type of affiliation of the initiative, their custody and collecting approaches, the types of collections, funding, staffing, and collection policy, inter alia, are identified and concisely described.

#### 4.2.1.1 The California Ethnic and Multicultural Archives (CEMA)

The California Ethnic and Multicultural Archives, also known as CEMA, is a section within the Special Collections Department of the University Libraries at the University of California. CEMA was established in 1988 and is now a permanent programme which collects archival records of under-documented ethnic groups (University of California, Berkeley, 2012a). According to CEMA's website, "These unique collections document the lives and activities of African Americans, Asian/Pacific Americans, Chicanos/Latinos, and Native Americans in California."

There are two categories of materials which form CEMA: day-to-day records of community members and records of community organisations. The first consists of personal papers of individuals including correspondence, diaries, speeches, photographs, manuscripts, and memorabilia. The second type consists of community-based organisational records. These document the activities and history of these organisations and their interactions with the communities they represent. Records include reports, minute books, hand-written meeting notes, agendas, brochures and pamphlets, memoranda, publications, membership records and correspondence. Oral memory and history projects are also undertaken by the Archives. According to CEMA website, "numerous organizations and individuals have committed to establishing their archives, papers, and other holdings in this Programme" (University of California, Berkeley, 2012a).

The Archives are very clear about stating that their mission is not only that of collecting these materials just for the sake of collecting them, but that these materials are there to enable and enhance research efforts to study the ethnic and racial diversity of the State of California and to support study and research in many disciplines such as art, history, literature, sociology and political sciences. Most of the funding obtained by the Archives is from its parent body, the University of California. However, CEMA also receives



additional funding from sources such as the Ford Foundation and the Federal Library Services and Technology Act. Although the CEMA is part of the University's Library, it is a separate department with a director and a number of archivists/librarians. These staff members are often of the same ethnicity as the major ethnic groups represented in the collections.

The CEMA indicates on its website that it actively seeks donations from community members and organisations (University of California, Berkeley, 2012a). They proceed to say that jointly with communities they will identify collections that need to be preserved as part of the social, cultural, political and economic history of ethnic minorities. In addition, they affirm that CEMA will take full responsibility for organising, processing, preserving and making available for research these materials once they have been donated. The Collection Policy of CEMA also states that they "will seek to work with other institutions involved in similar efforts, as appropriate" (University of California, Berkeley, 2012a). The CEMA has over 150 separate collections. Examples of collections acquired include: Asian American Theatre Company Archives; records of the Chinese American Democratic Club; the National Network of Hispanic Women; *Centro Cultural de la Raza Archives*; and the records of the Californian League for American Indians.

#### 4.2.1.2 The Jacob Rader Marcus Center of the American Jewish Archives

Founded in 1947 at the Hebrew Union College Jewish Institute of Religion by Dr Jacob Rader Marcus, the American Jewish Archives has become a major research centre for American Jewish history. The archives is interested in collecting materials reflecting the life and history of American Jews, and its institutional motto reflects this by stating that its aim is "... to preserve American Jewish history and impart it to the next generation" (Jacob Rader Marcus Centre, 2012). The Archives has mainly a nation-wide focus. However, since it is situated in Cincinnati, there is a slant towards collecting materials from the local Jewish population, such as the records of the Jewish Federation of Cincinnati and the Cincinnati Reform Jewish High School.

The Archives has a clear collection policy stating that the "Archives is committed to preserving a documentary heritage of the religious,

organizational, economic, cultural, personal, social and family life of American Jewry” (Jacob Rader Marcus Centre, 2012). The Archive actively calls on members of the community to donate materials that fall within its collection policy. As such, the collections include those of individuals and American Jewish religious and social organisations. The collections of organisational records reflect those of Jewish national, regional and local organisations and synagogues: minute books, financial records, membership records, correspondence, journals, annual reports, organisational constitutions, policies and many other miscellaneous records. These records also come in various formats such as photographs, microfilms, manuscripts, film, audio and video tapes, and electronic records. Examples of collections acquired, include: records of the Hebrew Ladies Benevolent Society; Federation of Jewish Charities of Boston; Brooklyn Jewish Community Council records; Jewish Federation of Cincinnati; Orthodox Jewish Orphan Home; and Jewish Family and Children’s Services records. According to their website (Jacob Rader Marcus Centre, 2012), they hold nearly 8000 linear feet of archives.

The Archives does not consider its only function to be the collecting of historical materials: it is also a research centre and as such uses part of its resources for publishing projects, such as journals and historical works. Although the Archives is an independent centre with its own executive director and a number of archivists, the centre is part of a broader Jewish educational institution, the Hebrew Union College-Jewish Institute of Religion and receives most of its funding from its parent body. The Archives also has various boards and advisory councils to support the work of the centre. These include the Academic and Editorial Board, the Ezra Consortium, the Educational Advisory Board and the B’nai Ya’akov Council (Jacob Rader Marcus Centre, 2012).

Finally, Marcus (1960:61) notes that “... the Archives not only devotes itself to the materials of the past, but with equal interest and concern sets itself to collect contemporary materials, so that scholars years hence can turn with confidence to its files in writing what will then be the history of our own day”.

#### 4.2.1.3 The Polish Institute of Arts and Sciences of America Archives

The Polish Institute of Arts and Sciences of America (PIASA) is a non-profit cultural organisation founded in 1942 in New York City. Its mission is to advance knowledge about Poland and Polish Americans. According to the PIASA website: "Today the Institute is a vital link between the Polish American community as well as America" (Polish Institute of Arts and Sciences of America, 2012).

Although the Archives of the Polish Institute of Arts and Sciences of America (PIASA) fall under a specific organisation, the archival materials collected are of a broader nature and they aim to preserve the history of the Poles in America in general. According to PIASA's website (Polish Institute of Arts and Sciences of America, 2012), the Archives consist of over 400 linear feet of processed materials, and include 75 collections. The archival collections include manuscripts, correspondence, diaries, maps, sound recordings and other materials from Polish American individuals and organisations. The holdings are made up of three main parts: political manuscript collections; artists' and scholars' private papers; and general collections regarding Polish Americans, which include records of community members and organisations – including the actual organisational records of PIASA.

The website of PIASA also acts as a link to archival collections held at other institutions relating to the history of the Polish in America. These include links to the Polish American Historical Association, the Alliance College Polish Collection and the Polish-American Museum collections. Besides requesting archival donations from the Polish community, in addition, the staff of the archives offers community members and community organisations assistance with archival management and preservation issues for those individuals or organisations interested in caring for their own archives on their own premises.

Examples of the collections held at PIASA include: records of the Polish Federalist Association Division in Chicago; the Bohdan Pawlowics Papers; the Ibero-American manuscript collection of Edmund Urbanski; and the records of the Polish American Academic Association. Finding aids, such as the

inventory, are available online. The website also mentions future projects for the archives such as a special preservation programme for valuable archival materials of the community, and the publication of a new guide to the archives (Polish Institute of Arts and Sciences of America, 2012).

#### 4.2.1.4 Northeastern University – Preserving the History of Boston’s Under-documented Communities

*‘Preserving the History of Boston’s Under-documented Communities’* is an ongoing project that is part of the Archives and Special Collections Department of the Northeastern University Libraries in Boston (Northeastern University, 2012). The Department received a grant from the University specifically to pursue the project.

According to Krizack (2007:126), the collecting policy of the project relates specifically to “Boston’s African American, Chinese, Latino, and gay and lesbian communities, since these are among Boston’s largest minority communities”. One of the main objectives of the project was to work with advisors from these communities in Boston to plan for the preservation of their historical records. “The goal involved working with these project advisors to identify the universe of possible organizations (both active and defunct) to document”. The project also followed a specific collection plan. The research to determine the collection plan included “categorizing the organizations according to a modified version of the topical breakdown of areas of human endeavour that is the basis of Richard Cox’ work of documenting localities” (Richard, 2006). From the resulting list, advisors chose the major organisations across all topics as priorities for documentation. Consequently, Northeastern University Archives concentrated its collecting efforts on organisations that focused on social welfare and social reform, while through collaboration it simultaneously encouraged other local archival repositories to collect in other areas, making use of the project’s research.

As a direct result of the outcomes of the project, collections now held at the Northeastern University Archives include, inter alia, the records of the Museum of the National Center of Afro-American Artists, the Puerto Rican Entering and Settling Services, the *La Alianza Hispana*, and the Boston

Alliance for Gay and Lesbian Youth records. Records held by these Archives include correspondence, minutes, reports, budgets, photographs, film, videotapes, newsletters, and memorabilia (Northeastern University, 2012).

The project has been responsible for creating a website that encourages participation from the community in archiving as well as encouraging community members and organisations to donate community records relating to the four groups identified. The website appeals to community members to consider the donation of records of non-profit organisations, businesses, churches, political groups, schools, social and cultural groups, and individuals. The website also indicates that materials do not have to be organised, because the staff at the archives will transfer, organise, preserve and make accessible the records donated. The website also highlights the point that the materials do not have to be either old or relate to famous individuals, events or organisations for them to be of historical interest. Communities are therefore encouraged to donate their day-to-day records (Northeastern University, 2012). The website also indicates that the archives staff is available to advise community individuals and organisations on archives management and preservation issues, including assisting those community members who would rather keep their own archives. The project has also created finding aids which are available on the University's public access catalogue and through the Internet (Northeastern University, 2012).

#### 4.2.1.5 The Immigration History Research Center archives (IHRC)

The Immigration History Research Center (IHRC) is an independent interdisciplinary research unit in the College of Liberal Arts at the University of Minnesota. According to their website (University of Minnesota, 2012), "Since 1965, the IHRC has created a vast archive of newspapers, oral histories, and personal papers, along with the organizational records of immigrants and refugees and the agencies created to serve them." The archives of the IHRC promotes research on international migration with a special emphasis on immigrant and refugee life in the United States. In this capacity, they seek to acquire and preserve documents that assist in understanding the immigrant experience. The Center's archives provide documentation for many immigrant

groups, but particularly focus on those who eventually settled in Minnesota or the Midwest. According to their site, “The IHRC is proud to have built one of the largest and most important collections of materials documenting U.S. immigration and refugee life to be found anywhere in the world” (University of Minnesota, 2012).

The IHRC website states that the collections serve many research purposes, including studies in the fields of gender, ethnicity, labour, industry, and comparative research in the field of migration studies. The site also states that the current acquisition priorities include archival materials of first generation immigrants and first generation refugees in the 20th century. In addition, it explains: “The IHRC seeks to collaborate with, and not compete with, ethnic community efforts to preserve cultural materials. The IHRC cooperates with homeland repositories, American communities, and other repositories to ensure the greatest possible access to heritage materials created by immigrants” (University of Minnesota, 2012). Wurl (2003:29) states: “Along with the documentary remnants of the immigrants themselves, the IHRC has built an impressive array of sources reflecting the response of mainstream America to the foreign born.”

The IHRC avers that the materials collected by them are those records that are unique, original and unpublished, created by a person or organisation. These include letters, diaries, photographs, albums, minute books, original manuscripts, correspondence files and annotated copies of significant publications. Records of community organisations include those of fraternal organisations, political and labour groups, religious bodies and cultural societies (Wurl, 2003:29).

The IHRC actively encourages community individuals, community organisations and the public in general to donate relevant materials: “We appreciate your support in our mission of preserving immigrant voices through donations of materials.” The Center, however, stipulates that these donations will only be considered if they fall within the selection guidelines of the archives and, in this regard, potential donors are required to fill out a

'Collection Donation Survey' to help the archive staff evaluate the suitability of their requests (University of Minnesota, 2012).

Collections held at the IHRC Archives include the Finnish American Collection of the Aamunkoitto Temperance Society (Brooklyn, New York) records; the Croatian Fraternal Union of America (Iowa) records; Czech-American Dramatic Society of Chicago Papers; and the Polish American Collection, amongst many others. The latter is one of the most significant initiatives in the United States to preserve American Polonia history. Wurl (2003:29) states: "The Polish American Collection at the IHRC is, indeed, one of the anchors of our repository. ... Nearly every facet of the Polish experience in America is reflected in some measure... ." The IHRC Archives's website provides a comprehensive online guide to its own collections and also points to a selection of other web archival resources and useful links which provide information and resources on migration studies (University of Minnesota, 2012).

#### 4.2.1.6 The Hellenic Museum and Cultural Center in Chicago (HMCC)

This is another example of an American archival collecting effort that has been founded and maintained by the community itself. According to their website, the HMCC was founded in 1983 to serve the Chicago community of approximately 350000 Greek Americans "with programmes that promote understanding and appreciation for the rich cultural traditions of ancient and contemporary Greece" and a place "where the public can explore the legacy of the Greek immigrant experience in America ... ." The website goes on to explain that the HMCC is a centre of Greek history, culture and arts, and that it is "... the first institution dedicated to displaying and celebrating the cultural contributions of the Greek and Greek-American communities in uniquely original settings. It is a place where past achievements are preserved and honoured and where current contributions are interpreted and shared. The HMCC serves as a model for discovering the cultural distinctions and commonalities of all ethnic communities" (Hellenic Museum and Cultural Center in Chicago, 2012).

Archival collections at the HMCC include community personal papers, community-based organisational records, and an oral history project to preserve the history of the Greek immigrant experience in America. Besides housing the archival collection, the center is first and foremost a museum, and has a library, a performance theatre, and an educational centre as well. The center also serves as a place where community members meet and interact. In addition, the center strives to showcase the Greek American experience not only to community members, but to Americans in general, through tours and outreach programmes that highlight the heritage of Greece and Greek Americans. The center is managed by a board of directors which consists of Greek Chicago residents. The center is funded by community organisations and members themselves and through contributions from Greek organisations as well as the Greek government. The center has also received supplemental support from American mainstream institutions.

#### 4.2.1.7 Portuguese-American initiatives

There are a few examples of initiatives in the United States to document the experiences of Portuguese communities. The most significant example of a Portuguese archives collection found in the United States is that of the **Ferreira-Mendes Portuguese-American Archives (PAA)** at the University of Massachusetts. According to their website (University of Massachusetts, 2012) the Ferreira-Mendes Portuguese-American Archives “situated in the South Coast of Massachusetts, between the cities of New Bedford and Fall River, is at the center of a region with one of the largest populations of immigrants and descendants of immigrants from the Portuguese speaking world”. The Ferreira-Mendes Portuguese American Archives, was named after a well-known local radio personality and producer, Affonso Ferreira-Ferreira Mendes, and has been actively collecting records of social, cultural, educational and religious organisations and personal and family papers of the Portuguese community in the United States since 1996.

In 2007 the Ferreira-Mendes Portuguese American Archives received an endowment from Mr Edmund Dinis to establish the Edmund Dinis Portuguese American Political, Legal and Public Service Collection. Later, in 2007, the



government of the Autonomous Portuguese Region of the Azores pledged significant funds to support the archives and share digital resources. Through these donations and many others from individuals of the community, a portion of the library was also renovated and opened in 2009 as the Ferreira-Mendes Portuguese American Archives (PAA). Although it forms part of the Archives and Special Collections Department of the University Library, the PAA Archives is an independent section with its own director and archivists/librarians (University of Massachusetts, 2012).

In their article on the PAA Archives, De Sa, Pacheco and Farrar (2011:7) highlight the importance of the establishment of the archives by stating that "... by structuring, framing and organizing Portuguese-American social memory, and producing knowledge and narratives based on the objects of memory contained in its collection, the archives will play a pivotal role in the continual construction of group identity, the shaping of Portuguese-American representation and the understanding of Portuguese-American culture in the public domain". They go on to say that the archives will also provide a foundation for the collective understanding of who Portuguese Americans are as an ethnic group and how they fit into the overarching narrative of U.S. history and culture, and that the collections will contribute to a deeper and more nuanced understanding of the group (De Sa, Pacheco and Farrar, 2011:7-8).

The archives include, inter alia, collections of manuscripts documenting local Portuguese American families and organisations, and the work of individuals within the Portuguese community nationally, a collection of photographs on a wide range of topics, original newspapers from the Portuguese press in the United States, and personal papers and collections of local politicians, educators, authors, and businessmen. Examples of collections acquired include the Portuguese American Historical Foundation of Fall River, Inc. records 1991-2000; the Portuguese Alliance Benevolent Association records 1924-2004; the Furtado Family Letters; the Pereira Garcia Family Papers, 1899-1960s; the Antonio Alberto Costa Collection of Portuguese Musical Recordings; and the Club Ponta Delgada collection. These collections consist

of printed materials, newspaper clippings, correspondence, minute books, memorandums, ephemera, photographs and other materials. The PAA Archives have also developed an online Portuguese-American Digital Newspaper Collection, and initiated an Oral History Project.

The archives claims to work closely with the Portuguese American community to acquire and organise archival records and to promote the PAA. The website of the archives invites the public to donate relevant community materials requesting, "If you would like your family papers, business or organizational records to be a part of the permanent history of the Portuguese community in the United States and strengthen the future of the Ferreira-Mendes Portuguese American Archives, please contact the archives librarian for donation information" (University of Massachusetts, 2012). The website also provides a finding aid in the form of an online archival collection guide. In addition, the website provides useful links to other online resources of Portuguese American interest, such as the Center for Portuguese Studies and Culture.

There are also a number of smaller initiatives to preserve the social history of the Portuguese community in America, including those of the Portuguese Historical and Cultural Society in California; the Portuguese Historical Museum in San Jose; and the Portuguese in California oral history project of the University of California Berkeley Library Regional Oral History Office. The Portuguese Historical and Cultural Society in California is a non-profit organisation founded in 1979, dedicated to the preservation of Portuguese cultural and historical heritage of the area of Sacramento known informally as the Riverside-Pocket. Although the organisation claims its goal to be the preservation of the community's heritage, it is mainly concerned with current and future community events and it is also dedicated to genealogy research, with an online database which assists community members to find their ancestry. Little in the form of archives has been collected, other than a photographic collection that portrays the development of the community in the area (Portuguese Historical and Cultural Society, 2012).

As the name suggests, the Portuguese Historical Museum is mostly a museum. Founded in 1997, it consists of 1600 square feet of exhibit space where visitors are introduced to Portuguese history and culture. Besides this, the museum embarked on a digital project which is the recorded family history of thousands of Portuguese immigrants and their families in California. According to their website, "This online archive will be constantly updated so that it will become a contemporary chronicle of the lives of today's immigrants as they continue to shape the communities in which they live. Museum visitors will be able to look up the lives of relatives and friends, see their pictures, read their diaries, see maps of the places from whence they came, and read their exciting stories as they struggled to make a life for themselves and their descendants" (Portuguese Historical Museum, 2012).

Lastly, the Portuguese Communities in California is an oral history project initiated by the University of California, Berkeley Library Regional Oral History Office. According to their website (University of California, Berkeley, 2012b), the project seeks to bring the narratives of Portuguese immigrants to life. More specifically, the project records the stories of Portuguese immigrants and their descendants in the San Francisco Bay Area, who represent various aspects of the history of this early immigrant group. Immigration from Portugal (mainly from the Atlantic islands of Azores and Madeira) peaked in the first years of the past century and then again in a second wave in the 1960s and 1970s. It is the voices of these people and their descendants that have been the target of this oral history series, which began in 2002. These recordings include both audio-visual and 'audio only' recordings (University of California, Berkeley, 2012b).

#### **4.2.2 Initiatives in the United Kingdom**

Britain has had a multicultural society for hundreds of years. Many people from all over the world have settled in Britain. Examples of those who have settled there include the French Huguenots in the 16th century and the Jews in the 19th century. In the 20th century, World War II resulted in tens of thousands of Poles and others from Eastern Europe moving to the UK. More recent immigrants include people from India, Jamaica, Africa, Latin America and Hong Kong (Vertovec, 2010:84-86). Consequently, there are a number of

cultural groups with a wide range of significant differences in language, background and culture, who are entitled to relevant collections and services that cater for their needs in the UK.

Initially, the responses of institutions of preservation, such as archives, to documenting the experiences of a growing diverse British society were limited. However, more recently as in the US, with the postmodern discourse and the recognition of social history from the 1970s, the UK has also seen a number of initiatives to document the under-documented, including mainstream initiatives and others in the form of community-based archives, where this type of archive has found its strongest voice. While many of these community archives focus on under-documented topics or localities, others are based on underrepresented communities, such as immigrant and ethnic groupings.

#### 4.2.2.1 The Scottish Jewish Archives Centre

Founded in 1987, and housed in the Garnethill Synagogue in Glasgow, the Scottish Jewish Archives Centre aims to document the religious, organisational, social, economic, political, cultural and family life of Jews in Scotland since the eighteenth century. It provides a research facility and an educational resource for the Jewish, as well as the wider community, in order to heighten awareness of the Jewish heritage in Scotland and to stimulate study of the history of the Jews in this country.

According to their website (Scottish Jewish Archives Centre, 2012), “The Centre collects a wide range of material, and its large collection includes old synagogue minute books and registers, membership lists, over 6,000 photographs, oral history recordings, annual reports of many communal organisations, a small library of books of Scottish Jewish interest, personal papers, war medals, ceremonial keys, newspapers, magazines, trophies, plaques, paintings and sculptures.”

These collections are documented, preserved and exhibited for the benefit of the general public, and visitors include researchers, school pupils, students, postgraduates, journalists, television producers, tourists, family historians and

others (Scottish Jewish Archives Centre, 2012). Organisational records collected by the Archives Centre include those of communal organisations, welfare organisations, cultural societies and youth groups.

Apart from traditional archival activities, the centre is also involved in the publication of books and journal articles and the recording of DVDs about the history of the community. In addition, it organises open days, family history meetings, exhibitions, lectures and symposiums on community-related issues. The website of the centre also provides an online search facility of its holdings and links to related sites, such as the Scottish Council of Jewish Communities, the Anglo-Jewish Archives, and the Jewish Genealogical Society of Great Britain.

#### 4.2.2.2 The Polish Social & Cultural Association Library (POSK)

The Polish Social & Cultural Association (POSK) was founded by the Polish community in the UK. It involves and is run by people of all ages and backgrounds to provide a strong Polish focus in London and to draw on what is happening in the cultural life of Poland. According to their website, the association "... offers a chance to meet and make friends, to relax in a Polish atmosphere, to buy and borrow books and magazines, to see the latest Polish films, Polish plays or cabaret – often invited from Poland. ... POSK is open to and welcomes people of all nationalities. But most of all, even if you do not speak Polish, we want you to see POSK as 'your home away from home' whenever you feel a yearning for things Polish" (Polish Social & Cultural Association Library, 2012).

POSK's mission is to "promote and encourage access to Polish Culture in all its forms to Poles and non-Poles. POSK serves the entire Polish Community, facilitating the retention and development of each individual's sense of national identity. It provides an opportunity for non-Poles to sample Polish Culture and diversity within the local community. It aims to achieve this through effective management, efficient use of resources and close co-operation with other organisations" (Polish Social & Cultural Association Library, 2012).



The Polish Library of POSK was founded in 1942, and has belonged to the Polish Social and Cultural Centre since 1967. It is a research library specialising in the collection of Polish and British-Polish history, especially Polish immigrant publications of all kinds. These include books, periodicals and newspapers as well as archives, manuscripts and photographs. The most significant collections of the library include the Joseph Conrad collection; bulletins, newsletters, manuscripts and other archival records of Polish organisations in the UK; personal papers of notable Polish immigrants; a photographic collection; and collections of maps and printed music. According to their website, “The Polish Library POSK in London is the primary source of research and information on émigré social history and culture since the end of II World War” (Polish Social & Cultural Association Library, 2012).

#### 4.2.2.3 The National Archives in the UK

The National Archives is the UK government's official archive, containing over a thousand years of history (National Archives, 2012). Within these collections are various records relating to immigrants, ethnic and other under-documented communities from the perspective of government departments and officials. These include names and information about foreigners coming to live in Britain during the past six hundred years. These can be obtained from various series records in the National Archives. Records about these communities originate from various government departments such as the Foreign, Cabinet, Home, and War Offices, the Department of Employment and the Ministry of Health. Assistance in tracing references to individual immigrants in the period up to the 1800s can be obtained from several publications of the Huguenot Society of London, which include transcripts of lists and entries from many records. From 1800 there are printed indexes of names which assist in the retrieval of information available from records of the Home Office (National Archives. United Kingdom, 2012). There are also additional guides that point researchers to records in the National Archives, which contain information about the lives, deaths and careers of immigrants. Furthermore, the National Archives provide guides that point to useful records in other archives and organisations, and reveal which records are available online.

Although the immigration records of the National Archives described above represent the story of these immigrants from the perspective of government officials and their interactions with government departments, the National Archives has embarked on a project in an attempt to include the social history and experiences of these communities with the participation of the latter, through their online initiative called '*Your archives*' (National Archives. United Kingdom. *Your Archives*, 2012). *Your Archives* is an online resource that enables anyone to share their knowledge of Britain's archival heritage and to reuse historical information. It is a wiki resource, built using MediaWiki, the same technology pioneered by Wikipedia online encyclopaedia. *Your Archives* was launched in 2007 as part of The National Archives's online services. It is distinct from The National Archives's main website, because it is designed for users to develop and use as they undertake their research into the nation's archives and history. Users can contribute to *Your Archives* in numerous ways, such as editing pre-existing pages, submitting their own articles about historical subjects and about records held by the National Archives or elsewhere, adding information to build upon the National Archives's other resources such as the Research Guides and the National Register of Archives, and collaborating with other users interested in similar subjects (National Archives. United Kingdom, 2012).

Although *Your Archives* is used by members for the public interested in and wanting to participate in any archival or heritage subject or theme, it has been especially useful to community members of ethnic and immigrant groups that want to contribute and share their knowledge of their own histories. Categories in these areas include, migration in general, African diaspora, Asian immigrants, Jewish immigration, and German family history. A specific example of user participation in the National Archives's *Your Archives* initiative is that of documenting, preserving and sharing the history and experiences of Poles in the UK. This initiative includes information shared about records relating to the Polish community in Great Britain, both during and after the Second World War. Because of its participatory nature, the National Archives cautions that it cannot vouch for the accuracy of information appearing in *Your Archives* (National Archives. United Kingdom, 2012).

#### 4.2.2.4 Cambridge Community Archive Network (CCAN)

A recent development in the UK has been the formation of various county-wide community archives, linked into wider groupings, with the support of local authorities and the use of Internet technologies. An example is the County Cambridge Community Archive Network – CCAN. The aim of CCAN is to preserve the diverse sources of the local cultural and community heritage of Cambridge, and make it available to the widest possible audience online. Funded by a heritage grant from the Heritage Lottery Fund, awarded in 2006, the CCAN Project is creating a cross-searchable network of nearly fifty digital community archive groups across the county.

Community archive groups are invited to add their collections to the network. The network's website explains: "Your community heritage is both valuable and fragile. Intriguing information, in the form of photographs, documents and memories about community life, is all too often lost to subsequent generations" (Cambridge Community Archive Network, 2012). The aim of CCAN is therefore to attract to their network archive collections of any local group that are not represented in the mainstream local archival repositories – and that are in danger of being lost – in order to safeguard and make them accessible. These local community groups are defined broadly, and include those having a common interest, locality or ethnicity.

With the support of Cambridgeshire's Libraries, Archives and Information Service, each community group creates its own digital archive on the CCAN website, using equipment at local Community Access Points. So far, groups have added over 15000 records. These records include those of private individuals, organisations, businesses and societies (Cambridge Community Archive Network, 2012). The CCAN also acts as a digital network of community archives so that these have an online presence that represents them and promotes them to a wider audience. The site invites any community, community member or community organisation that has or runs an archive, to add their details to their network directory. The directory provides links to all the community archives that have provided their details to the CCAN.



The CCAN collection has a search facility featuring key words that can be entered to retrieve relevant record groups and specific records. The CCAN website also provides useful 'links' to access a range of history and archive-based web links and to view other county archival networks such as the Norfolk Community Archives Network. According to their website, CCAN is designed to be a sustainable project, continuing to support itself through a volunteer group forum guided by a steering committee. It has also become a subgroup of the Cambridgeshire Association of Local History (Cambridge Community Archive Network, 2012).

#### 4.2.2.5 Portuguese collecting initiatives in the UK

As has been observed in South Africa, the UK does not have any archival and related collections specifically dedicated to documenting and preserving the social history and experiences of the Portuguese community. Although there are a number of universities that have Portuguese collections, these focus on accounts and events of historical national and bi-national significance between the two countries, especially between the 1300s and 1800s, such as the history of the Anglo-Portuguese Alliance, ratified in 1386 as the Treaty of Windsor, between England and Portugal. It is claimed to be the oldest alliance in the world which is still in force, with the earliest treaty dating back to the Anglo-Portuguese Treaty of 1373.

There are also more recent collections on maritime historical studies, colonialism and the military history uniting the two countries such as the colonial wars in Africa in the 20th century, as for instance after the history of the German incursions in Portuguese East Africa (Mozambique), and the subsequent English support. Examples of such collections are found at a variety of tertiary institutions including Oxford University's *Instituto Camoes*, the University of Birmingham, University of Exeter, Birbeck University and Bristol University, to name but a few.

There are a number of community organisations and community newspapers in the UK such as the Portuguese youth organisation, *Mocidade Portuguesa*, the Anglo-Portuguese Society, *Centro Português de Apoio à Comunidade Lusófona* (Portuguese Community Centre), and the community newspaper *As*

*Noticias*. Although, these Portuguese community-based organisations do create records, they currently however retain these for their own use, especially for short-term administrative purposes.

#### **4.2.3 Initiatives in Canada**

Gusella, (2004) points out that nearly one in every five people living in Canada is an immigrant born outside the country. In addition, almost four million Canadians self-identify as visible minorities. They have more than two hundred ethnic origins. Projections show that, by 2016, visible minorities will make up one-fifth of Canada. The aboriginal population jumped 22 per cent in the five years between 1996 and 2001. “In sum, the rate of growth of Canada’s ethno-cultural diversity is more rapid than at any point in the country’s history” (Gusella, 2004). According to Godin (1994), the Canadian tradition of ‘multiculturalism’ reflects a conviction that, by accepting and promoting cultural diversity, Canadian society will develop a shared sense of Canadian identity that respects the diversity of the country and its people. The author points out that the need for programmes and services – geared specifically to the interests of culturally diverse communities – has evolved as Canada’s population has become more diverse. The multiculturalism policies of Canada which were introduced in the 1970s and 1980s – including the Canadian Multiculturalism Act of 1985 – called on public institutions to respond to the diverse needs and interests of all community members.

As a consequence of these developments Canadian archives and related institutions have also been compelled to respond, resulting in a fair share of initiatives to document the history and experiences of these often under-documented communities and establish related programmes and projects. In addition, other developments akin to those in the US and UK, such as the postmodern discourse in the archival field and the recognition of social history have impacted on these developments. Furthermore, as observed in chapter three, Canada’s efforts to strive towards the ideal of a ‘total archives’ also played an important role in documenting the under-documented. As with the countries discussed above, these initiatives do not only originate from public institutions, but also come in many different forms, ranging from entirely

independent community projects to mainstream programmes, to those that have sought a collaborative approach.

#### 4.2.3.1 The archives of the Japanese Canadian National Museum

Located in Nikkei Place in Vancouver, the Nikkei National Museum and Cultural Centre (NNMCC) is a multi-use facility with a mandate to promote a better understanding and appreciation by all Canadians of Japanese Canadian culture and heritage, and an awareness on the part of all Canadians of the contributions of Japanese Canadians to Canadian society, through public programmes, exhibits, services, publications, public use of their facilities and special events (Nikkei National Museum and Cultural Centre, 2012).

Although called a museum, the centre also has as one of its core responsibilities that of maintaining an archives. In 1981 the Japanese Canadian History Preservation Committee was established to acquire archival materials from within the Japanese Canadian community. Later, in 1990s this committee of volunteers took on the task of learning the procedures of archival institutions in order to care for their collection so that it would be accessible to the community, researchers, and the public. The archives then became known as the Japanese Canadian Archives. It later changed its name to the Japanese Canadian National Museum. In 2002, the Japanese Canadian National Museum (JCNM) merged with the National Nikkei Heritage Centre Society, into a larger organisation called the Nikkei National Museum and Cultural Centre. As a key component of the NNMCC, a separate unit called the Japanese Canadian National Museum remained to identify the specific museum and archival work carried out by the unit (Japanese Canadian National Museum, 2012). The JCNM has its own dedicated staff, including a director and a number of museum curators and archivists.

According to the JCNM website, “Our mission is to collect, preserve, interpret and exhibit artifacts and archives relating to the history of Japanese Canadians from the 1870s through the present, and to communicate to all, the Japanese Canadian experience and contribution as an integral part of Canada's heritage and multicultural society” (Japanese Canadian National

Museum, 2012). As part of this mission, the archives collect materials from both community members and Japanese Canadian community organisations, such as fraternal organisations, welfare societies, cultural societies, and women's and youth groups. A wide variety of materials are collected from these organisations, comprising manuscripts, minute books, letters and correspondence, membership lists, photographs, annual reports, and digital objects.

The JCNM receives most of its funding through the Nikkei Place Foundation, which is a charitable organisation raising funds exclusively to support the continuing development of programmes and services of Nikkei Place. Through the funds of its donors and supporters, monies are provided to the National Nikkei Museum and Heritage Centre through an endowment fund to sustain the work of the centre's various activities, projects and programmes, including those of the Archives (Nikkei National Museum and Cultural Centre, 2012). The JCNM website also provides links to other Japanese Canadian resources and events, such as Japanese Canadian fairs, exhibitions and film festivals.

#### 4.2.3.2 Simon Fraser University – Special Collections and Rare Books

The Special Collections and Rare Books section at the Simon Fraser University Library embarked on a digital project to digitise special collections and rare books, including those of immigrant and minority groups (Simon Fraser University, 2012). These digital collections originate from the Library's own traditional materials that have been donated to the university from various community members and organisations. The library states that one of the main reasons for digitising these collections is that it "ensures long-term preservation and accessibility of important cultural and historical materials. Digitization enables multiple users to simultaneously consult a single source, protects rare materials from damage, and allows remote access" (Simon Fraser University, 2012). The website of the library goes on to explain that this is especially important for immigrant and other minority groups, since these groups are often scattered and online access makes these materials available at no cost to these users.

The collections at the Simon Fraser University Library range from oral histories to personal papers, diaries, photographs, pamphlets, organisational records, correspondence, scrapbooks, maps, newspapers and manuscripts that have been digitised. The immigrant and ethnic groups that make up the collections consist of African Canadians, Chinese, Croatian, Doukhobor, Dutch, French, Japanese, Jewish, Italian, Pakistani, Portuguese and Ukrainian, amongst many others. Examples of some of these collections include, the Chinese Benevolent Association, the Chung Collection of Chinese Canadian materials, the Irish Immigrant collection, the Italian and German Canadian collections, and the Multicultural Miscellaneous Collections (Simon Fraser University, 2012).

#### 4.2.3.3 Library and Archives Canada (LAC)

Mainstream institutions in Canada, such as Library and Archives Canada (LAC) have also embarked on various initiatives to document the under-documented, with a view to preserving the 'multicultural history' of the country. In this regard, the LAC have established a portal that specifically offers access to archival sources and services on ethnic, immigrant, indigenous and minority groups, called the 'Multicultural Resources and Services' portal (Library and Archives Canada, 2012). According to their website, the LAC strives to preserve, promote and facilitate access to the vast and rich collections of resources created by or about immigrant, ethnic and indigenous peoples in Canada. As such, the motto of the LAC is "Let us keep the memories of our peoples".

One such initiative at the LAC is that of safeguarding the history and heritage of the indigenous aboriginal peoples of Canada. According to the LAC "Library and Archives Canada, in partnership with Aboriginal communities and related organizations, sustains a holistic and integrated approach in the development, preservation, promotion and sharing of Aboriginal heritage and knowledge ... ." (Library and Archives Canada, 2012). At the LAC, published and non-published works on these communities, from private and government sources, may be found. Library and Archives Canada also provides various search facilities which assist in locating all related resources pertaining to

these communities held at the LAC, such as their digital collections, virtual exhibitions, genealogy tools, and a search 'directory' for information about aboriginal authors, artists, illustrators and their works, and native newspapers (Library and Archives Canada, 2012). Examples of collections held at the LAC include, inter alia, databases such as Indian Reserves Western Canada, research aids such as Aboriginal Peoples Guide to the Records of the Government of Canada, and digital collections such as Indian Affairs Annual Reports 1864-1990.

Besides the normal obstacles encountered by community members to documenting their histories and memories, such as funding and resources, staffing, advocacy and promotion, and access, the LAC also highlights the issue of what it calls the 'authenticity of voices', explaining that aboriginal communities are "... concerned with the types of materials that have been published or are held by LAC that contain inappropriate information or biased, prejudicial or racist interpretations of content. There was also concern about guides and tools that do not respect the diversity of Aboriginal peoples" (Library and Archives Canada, 2012).

Therefore, although without doubt, an invaluable source of information relating to immigrants and their entry into and lives within Canada, records generated and collected by mainstream government departments – such as the LAC which incorporate their national archives – are often criticised, or rather seen as biased because they represent the story of these immigrants from the perspective of government officials and government agencies. That is a story about them and not from them, as opposed to some of the examples mentioned previously which include collections that are generated and maintained with greater participation from community members and community organisations.

#### 4.2.3.4 Portuguese-Canadian initiatives

There are a few initiatives in Canada to document the experiences of Portuguese communities. The most visible example of such an initiative on the Internet is that of the **Portuguese-Canadian History Project (PCHP)** at York University in Toronto. According to their website, the PCHP is a project

that aims to document the Portuguese immigrant experience in Canada, and to preserve the collective memory of this community. The PCHP is a community outreach initiative that started in 2008. It is committed to locating historical sources in the hands of private individuals and organisations in the Portuguese-Canadian community and having them placed in the care of the Clara Thomas Archives and Special Collections at York University (York University. Portuguese-Canadian History Project (PCHP), 2012).

The website of the project goes on to say: “Overall, the PCHP works towards the democratization and dissemination of historical knowledge, as well as provide the opportunity for Canadians, especially those of Portuguese origin, to reflect on their individual and collective history. We believe that historiography, even that which is produced ‘from below’, remains inaccessible to most, including those ‘ordinary’ men and women to whom it intends to provide a voice. Without dispelling the importance of the journal article or book format, we consider it imperative for the discipline of history to explore other formats, such as new media, in order to grant it the attention it deserves” (York University. Portuguese-Canadian History Project (PCHP), 2012). Materials collected include manuscripts, oral history recordings, personal papers, letters, correspondence, photographs, minutes, annual reports and electronic records. Organisations like the Portuguese Interagency Network and the Portuguese Canadian Democratic Association, have donated their collections to the PCHP.

The PCHP pursues collections by looking at potential collaborations and ways to expand their community outreach. They have also begun to use some of the materials collected to develop a curriculum for public viewing meant to showcase the Portuguese-Canadian experience, including an online display (York University. Portuguese-Canadian History Project (PCHP), 2012). The archives that have been processed are open for public consultation, and finding aids to these collections can be accessed online through the University’s library online public access catalogue.

#### **4.2.4 Initiatives in Australia**

In documenting the under-documented in Australia, one sees that archival institutions have focused their attention on providing collections and services to their diverse minority groups, especially immigrant communities. This is partially the consequence of the country's post-war immigration policy which resulted in that country becoming an ethnically and culturally diverse society. Dandy and Pe-Pua (2010:34-36) recognise the multicultural nature of Australia, stating that it is a society composed of many different ethnic, immigrant and other culturally diverse groups.

Although these diverse communities have always made a positive contribution to the overall progress of Australia, it was only in 1978 that their contribution was recognised. This occurred when the Australian government accepted the recommendations of the 1978 Galbally Report, and funds were allocated to promote multiculturalism in Australia (Rasmussen and Kolarik, 1981: 25). These authors (1981:26) further explain that, prior to the 1970s, Australian institutions of preservation – such as archives and libraries – showed little concern for services to ethnic communities. This resulted in many of these groups often being under-recognised in the national heritage of this country. However, as a result of similar effects experienced in other countries, of the postmodern discourse and social history, the early 1970s saw a growth in professional interest in this area. As a consequence, Australia has also seen a number of examples of initiatives to document the under-documented, especially immigrant and other ethnic minority groups, reported in the literature and visible on the Internet. Comparable to the initiatives discussed in the US, UK and Canada, these also come in many different forms and range from entirely independent community projects to mainstream programmes.

##### **4.2.4.1 Polish Historical Institute in Australia**

Established in 1996, the Polish Historical Institute in Australia (PHIA) is a non-profit organisation financed by donations and grants to collect, preserve and make available to the public archival material pertaining to Polish immigration to Australia and the settlement of Poles in Australia since 1940 (Polish Historical Institute in Australia, 2012).



As the PHIA does not own any building, it entered into a partnership with the National Library in order to house the materials received from the community. According to the collaborative agreement signed in 2000, archival donations received by the institute from community members and organisations are deposited at the National Library of Australia. These collections, known as the Collected Records of the Polish Historical Institute in Australia (MS 9562), cover the period 1948 to the present, and comprise records of Polish organisations and individuals from all the states and territories in Australia. According to its website, PHIA has the following mission: “To preserve the memory of the settlement of Poles in Australia through the activities of collecting primary source materials from prominent Poles and nationally oriented Polish organizations; To find and locate in appropriate public repositories these documents where access for the purpose of research is available; To provide information about the history of Polish settlement in Australia in print, electronic or other forms” (Polish Historical Institute in Australia, 2012).

The institute goes on to say that, to achieve its aims, it collects all available records of all principal Polish organisations active in Australia since 1940 (Polish Historical Institute in Australia, 2012). Collections consist of, inter alia, the West Australian Association of Polish Women Inc., Federal Council of Polish Organisations in Australia, and The Polish Youth Orchestra. Materials in these collections include minutes, reports, correspondence, financial statements, secretaries’ notes, newsletters, scrapbooks, photo albums and oral history recordings. These collections are accessible through an online search facility available on the institute’s website, as well as through finding aids available at the National Library (Polish Historical Institute in Australia, 2012).

#### 4.2.4.2 University of Sydney - The Archives of Australian Judaica

The Archives of Australian Judaica is an example of an Australian university initiative to document and preserve the history of a specific community, in collaboration with the latter. Part of the Rare Books and Special Collections section of the University of Sydney Library, the archives has been functioning

since 1983. Although the library is host to the archive – integrated into the routine framework of library activities – the latter retains its own identity, and receives financial support from a non-library source, the Mandelbaum Trust. Running expenses are supplied from donations from ‘Friends of the Archive’ and occasional once-off donations (University of Sydney, 2012). The archive also has its own staff including professional archivists and administrative personnel. According to their website, the archives contain “records, partial or complete, of major Jewish community organisations, some of which are now defunct, and papers of Jewish individuals relating to their activities within the Australian Jewish context” (University of Sydney, 2012)

The materials kept at the archives are made up of a variety of formats, such as photographs of individuals in their roles as members of community organisations or in meetings of historic community importance; tapes, including programmes of the *Jewish Radio Hour*, videos, DVDs and CDs which include interviews with Holocaust survivors, books and periodicals, which are now digitised; subject files on such topics as Jewish education and immigration; and ephemera. Specific collections include the Australian Association of Jewish Studies, the Australian Jewish Quarterly Foundation, Council of Christians and Jews (NSW), Brisbane Hebrew Congregation, Bernhard Hammerman photographic collection, and the personal papers of Jewish community members such as Yehuda Feher (University of Sydney, 2012).

Some of the records deposited in the archive are of a confidential nature. A few depositing organisations have therefore asked for these records to be placed on restricted access. The website explains that “... to keep faith with donors and depositors, researchers seeking to use restricted access papers are required to bring a signed authority from the organisation concerned” (University of Sydney, 2012). Access to archives records are not normally available for research to the general public, and can only be gained by permission of the creating body of each archival group, for example, the Jewish Board of Deputies.

The archives website provides links to other related national and international sites, such as the Australian Association of Jewish Studies, Australian Jewish Genealogical Society, the Australian Jewish News, Centre for Jewish History, Central Archives for the History of the Jewish People, and the Hebrew University of Jerusalem for Jewish History Resources. The site also provides online search facilities through the public access catalogue of the university library, and printed finding aids such as the guide to the Archive of Australian Judaica Holdings. In addition, the archives is involved in various Jewish publications (University of Sydney, 2012).

#### 4.2.4.3 The Italian Historical Society (IHS)

According to the website of the Italian Historical Society (IHS), the mission of the society “is to collect, preserve, interpret and promote the history of Italians in Australia” (Italian Historical Society, 2012). The IHS goes on to explain that it has collections of historic materials documenting the Italian presence in Australia, and that “... the IHS has an extensive collection of photographs, ephemera, letters, documents, official records and newspaper cuttings which relate to Italian migration and settlement in Australia”. Much of this material has been donated by Italian migrants and their descendents. While reflective of the experience of Italians across the country, the focus of the collections is Victoria.

The IHS main collections comprise books, publications and historic records; archives of organisational records; personal papers; a collection of oral histories; and a photographic archive. According to the Society’s website, these collections tell the migration story from departure to arrival: the voyage, the search for work, family reunion and settlement, and the experiences of the descendents of immigrants that now form the Italian Australian community (Italian Historical Society, 2012). Examples of specific collections include the organisational records and archives of the Italian Association of Assistance COASIT and the actual organisational records of the IHS.

Many items in their collections are of personal interest to people researching family history. Therefore, collections are made available for genealogical research. The IHS also actively seeks to grow its collections by welcoming

donations of organisational records, family archives, documents, artefacts and other historic records for its collections from the community and the public in general (Italian Historical Society, 2012).

The collections are searchable through various search options, including an option to browse the entire collection and options to search specific collections, such as the Image Collection and the Diplomatic Collection. In addition, the website provides links to other community resources such as Italian Association of Assistance, the *Museo Italiano*, and the Italian Resource Centre (Italian Historical Society, 2012).

#### 4.2.4.4 Portuguese collecting initiatives in Australia

Similar to what was seen in the UK review, Australia also does not have any visible archival and related collections specifically dedicated to preserving the social history and experiences of the Portuguese community. This may be partially due to the relatively small Portuguese community of approximately 60000 in Australia, as opposed to the communities in the United States and Canada of approximately one million and 500000 respectively. The National Archives of Australia does however hold many records of immigration to Australia in the twentieth century. Although not as comprehensive as the records on the 'Italians in Australia', the National Archives holds some records pertaining to the local Portuguese community, including records of passenger lists, citizenship records, alien registration forms, and migrant selection documents for Portuguese people applying to migrate to Australia under an assisted passage scheme (National Archives of Australia, 2012).

There are also a number of universities that have Portuguese collections. However, these hold traditional or conventional historical records that contain narratives of national and bi-national significance, and do not focus on the ongoing documentation of the social history and memories of the modern-day community. Most of these collections are found in mainstream institutions such as the University of Sydney.

There are various community organisations, community newspapers and community centres in Australia such as The Portuguese Cultural Centre, the

Portuguese Family Centre, *Associação Portuguesa de Victória*, and the community newspaper *O Portugues*. Resembling the state of affairs in the UK and in South Africa, although these Portuguese community-based organisations do create records as evidence of their activities, they currently keep these for their own administrative use.

#### **4.2.5 Concluding comment on the international initiatives reviewed**

Initiatives to document the under-documented, the formation of community archives and related programmes and practices constitute a phenomenon that is taking place in many countries. The literature and websites reviewed showed a more widespread interest and experience in countries such as the US, the UK, Canada and Australia. Although these initiatives take place in a different environment, much can be learned from them, especially when considering their application to transcontinental immigrant groups, such as the Portuguese community, in our local South African context.

#### **4.3 Initiatives in Africa**

As was noted in chapter three, the underrepresentation of some groups of society in the archives is a reality in the rest of Africa as well. Nevertheless, as was also observed in chapter three, there have been some initiatives to safeguard the history and experiences of under-documented communities and related practices in certain African countries. Like some of the initiatives observed in South Africa, these initiatives most often concentrate on oral history projects, preserving intangible cultural heritage, preserving indigenous knowledge, or other proposals which include non-traditional archival objects, and therefore do not focus on records created by community-based organisations as a means to preserve the experiences of these groups, which is at the heart of this study.

In addition, as with some of the reported examples about South Africa, the initiatives in African countries that do collect organisational records and other 'traditional' archival records to document the under-documented, are often those that attempt to bring the untold stories of the liberation struggles into the archives. According to Garaba (2010:28) the struggle to liberate the continent of Africa from colonialism was a profound one for Africans during the twentieth

century, and therefore this history needs to be documented accurately in whatever form, for the benefit of posterity.

There are a number of examples of initiatives to document these liberation movements, which hold both personal papers of individuals and organisational records of various types, such as correspondence, audiovisual materials, and oral recordings. These include the Tchiweka Documentation Centre (*Associação Tchiweka de Documentação*) in Angola which is a private repository documenting materials collected by Lucio Lara “in order to preserve and inform about the history of the liberation struggle in Angola” (Garaba, 2010:68). According to the website of the Tchiweka Documentation Centre, the materials consist of manuscripts, photographs, letters, and publications from the Lucio Lara collections. The project also aims to digitise parts of their collections in order to make them more readily available. The centre also aims at being a documentation centre to which private persons and organisations feel safe to donate their materials. The centre was initially funded by the Nordic Documentation Project, Nordic Africa Institute (Tchiweka Documentation Centre, 2012). There are proposals to transfer Lucio Lara’s collections to the National Historical Archive of Angola, once it has definitive premises, and better conditions for housing these kinds of archive are found there (Garaba, 2010:69).

In Namibia, certain liberation struggle archives are housed at the Swapo Party Archive and Research Centre (SPARC) (Garaba, 2010:77). SPARC was launched with the aim of collecting and preserving the history of the Party). According to their website, at the beginning of 2005, SPARC sent staff members to collect materials from the former SWAPO mission in the UN. Almost all the materials consisting of printed matter, photographs, films and videos were shipped to Namibia. In 2005 efforts were focused on working with database systems and training staff to digitise the materials. The recording of oral history is of great importance to SPARC. Part of their work has been financed by the Nordic Africa institutes Documentation Project (Swapo Party Archive and Research Centre, 2012).

Other such collections being administered privately by their respective political parties include, amongst others, FRELIMO's party headquarters which house the liberation struggle archives of Mozambique, and the ZANU PF Archives which contain the records of ZANLA's military wing, ZANLA. According to Garaba, "The archives are vast and include oral history recordings, personal correspondences and written reminiscences, photographs and press cuttings" (Garaba, 2010:91). There are also other repositories, independent of political parties, managing liberation struggle archives in Africa such as the Mafela Trust in Zimbabwe, which is an organisation set up to research and document the political and military activities of the struggle during the liberation war. Lastly, mainstream institutions are also involved in these initiatives such as, inter alia, the National Archives of Mozambique which house the liberation struggle archives of Mozambique (Garaba, 2010:74), and the National Archives of Zambia which has archives reflecting the country's political resistance (Garaba, 2010:88).

#### **4.4 South African initiatives**

As with the countries reviewed above – such as the United States, Canada and Australia – South Africa is also a nation made up of peoples of diverse backgrounds, in particular urban South Africa which is a 'melting pot' of black, Asian, coloured and white inhabitants. In addition, a variety of other ethnic, religious and minority groups, African and transcontinental migrants and immigrants also form part of this culturally diverse setting (Glaser, 2010:81). Harris (2002:75-76) therefore acknowledges that – just as in other countries – theories influencing archives in South Africa, such as social history and the postmodernist theories, 'post-custodial' approaches to archival preservation, and South Africa's recent transition to a democracy have also brought about the emergence of a few archives, especially non-public institutions, that are committed to including the histories of these diverse communities, often underrepresented in the country's social memory.

However, as observed in chapter three, most of the initiatives in South Africa that have recently emerged to document the under-documented – especially those emanating from mainstream institutions – seem to focus on a specific

definition of communities that have been underrepresented in our national archival heritage, that is, those communities that were segregated within the country's apartheid context. While these initiatives are legitimate and of great importance, they often do not recognise the reality that other groups may also have been (and continue to be) underrepresented in the country's archival heritage, such as immigrant groups, linguistic and religious minorities, and so on. In addition, even amongst the communities that are now being given attention, many of these initiatives, such as the Apartheid Museum and the Mayibuye Archives, tend to focus on the political struggle for freedom against apartheid and other political issues of these peoples. The fact that these archival programmes focus mainly on those individuals and organisations that have contributed to the liberation struggle, means that they often fail to direct their collecting efforts to the broader social, day-to-day experiences of these communities in general. Documenting the recent social history of such communities in South Africa, like the daily life and social memory of the Venda communities living in Soweto, is about more than their political struggles for freedom, and therefore also needs to be taken into account.

Nonetheless, the following serve as examples of initiatives that have tried to fill the gaps of an under-documented community regardless of their collecting focus, thus including programmes that have a more political focus on, say, telling the stories of a people's struggle against apartheid, and other initiatives that document the day-to-day experiences and social memory of ordinary people and communities generally overlooked, such as the Jewish Rochlin Archives, the Gay and Lesbian Archives, and the Gandhi-Luthuli Documentation Centre. However, a criterion that was imperative in selecting the initiatives discussed below was that these included in their acquisitions records generated by organisations as a means of safeguarding the experiences of these communities, since these will assist in generating relevant information directly related to what is at the heart of this study, namely safeguarding the organisational records of South African Portuguese community-based establishments.



#### **4.4.1 Nelson Mandela Centre of Memory Anti-Apartheid Movement Archives**

The Nelson Mandela Centre of Memory delivers the core work of the Nelson Mandela Foundation. The foundation is a non-profit organisation established in 1999 to support the founder, Nelson Mandela's, ongoing engagement in a variety of causes after his retirement as President of South Africa. The foundation is registered as a trust, with its board of trustees consisting of prominent South Africans. The Centre of Memory was inaugurated in 2004, and was endorsed as the focal work of the foundation in 2006 (Nelson Mandela Centre of Memory, 2012). According to their website, the vision of the centre is "a society which remembers its pasts, listens to all its voices, and pursues social justice".

One of the main focuses of the centre is that of the Anti-Apartheid Movement Archives. According to the centre's website, "Memory resources documenting the anti-Apartheid movement are to be found in an extraordinary range of locations, both within South Africa and internationally. These resources are embedded in various legal and other jurisdictions". The Centre of Memory therefore sets out to locate these documents, promote the preservation of these scattered resources, and facilitate research by individuals and institutions (Nelson Mandela Centre of Memory, 2012). These acquired archival materials are records of anti-apartheid organisations and individuals, and other organisations. Anti-apartheid organisations and people included in the collections are A. Philip Randolph, Action Committee on Southern Africa, *Aktie Komitee Zuiderlijk Afrika* (AKZA), Africa Bureau, Africa Educational Trust (AET), and the records of the Africa Fund. Other organisational records found at the centre include those of Africa Centre, Amnesty International, Anglican Church records, Anti-imperialist Solidarity Committee – Frankfurt am Main, Association of Concerned Africa Scholars (ACAS), Australian Council for Overseas Aid (ACFOA), Bread and Fishes/*Brödet och Fiskarna* (BF), and the Campaign Against Arms Trade (CAAT), amongst many others. (Nelson Mandela Centre of Memory, 2012). The centre also provides an online guide to these anti-apartheid movement archives.

These records of individuals and organisations are made up of media coverage, legal records, oral history interviews, photographs, letters, personal mementos, correspondence, minutes, annual reports and any other relevant documents or objects that have been donated to the archives. While many of their collections are paper based and can only be consulted at their offices, a range of digitised copies of documents and photographs are also available online and can be browsed on the centre's website. These archival collections may also be retrieved through the website's general browsing facilities and specific search options according to organisation or person (Nelson Mandela Centre of Memory, 2012).

#### **4.4.2 The South African History Archive Trust (SAHA)**

Although the South African History Archive Trust (SAHA) states that one of its main aims is to “recapture lost and neglected histories”, it goes on to explain that within this framework it is mostly dedicated to “documenting, supporting and promoting greater awareness of past and contemporary struggles in South Africa” (South African History Archive Trust, 2012).

SAHA was originally established by anti-apartheid activists in the 1980s and was closely aligned with political parties such as the United Democratic Front, the Congress of South African Trade Unions and the African National Congress. Over the years, SAHA has moved away from direct political alignment and committed itself to collecting materials as extensively as possible, from a wide range of sources, in order to document South African history and current events and thereby support justice and accountability (Millar, 2010:43-44). SAHA's website confirms this by stating that it “is an independent human rights archive. ... SAHA is now politically non-aligned, committed to collecting materials from organisations and individuals across a broad socio-political spectrum and making archives accessible to as many South Africans as possible”. The site goes on to say that “SAHA's central mission is to recapture lost and neglected histories and to record aspects of South African history in the making. This informs our continued focus on documenting past struggles against apartheid, as well as ongoing struggles in the making of democracy” (South African History Archive Trust, 2012).

SAHA's archival collections are made up of documents, posters, photographs, ephemera and oral histories donated to SAHA by individuals and organisations involved in past and ongoing struggles for justice in South Africa. These include significant collections relating to the anti-apartheid struggle. While the majority of their collections are paper based and can only be consulted by visiting their offices, a small range of digitised copies of documents, posters and photographs can be browsed on their website (South African History Archive Trust, 2012). In partnership with Digital Innovation South Africa (DISA), certain archival materials from key SAHA collections relating to the liberation struggle in South Africa are also digitised and can be accessed on the DISA website.

The organisational records acquired by SAHA are mostly those of anti-apartheid organisations and those organisations involved in past and contemporary struggles. These include records of the United Democratic Front, the South African Truth and Reconciliation Commission, the Urban Research Services Collection, the National Medical and Dental Association, and the South African Tin Workers' Union records. These organisational collections comprise, inter alia, minutes, correspondence, annual reports and photographs. The archive also makes its archival materials accessible for public exhibition and display, both nationally and internationally. SAHA has compiled links to organisations, portals or online publications that reflect SAHA's core interests and advocacy areas. In addition, the SAHA website provides a range of search facilities for its collections, including general browsing, collection searches, and specific item searches (South African History Archive Trust, 2012).

#### **4.4.3 The South African Jewish Board of Deputies Rochlin Archives**

The South African Jewish Board of Deputies is the central representative institution of the South African Jewish community, and the umbrella organisation for the local Jews. Most of the country's religious congregations, Jewish societies and institutions, as well as student bodies are affiliated to it. According to its website, "The SAJBD's mission is to work for the betterment of human relations between Jews and all other peoples of South Africa, based

on mutual respect, understanding and goodwill, and to protect the civil liberties of South African Jews” (South African Jewish Board of Deputies, 2012). The board's members are elected by the affiliate organisations at regional conferences and meet regularly to discuss and act upon issues of Jewish concern. The board functions through a combination of professional staff and voluntary lay leadership.

Named after the board's first archivist, SA Rochlin, the South African Jewish Board of Deputies Rochlin Archives (SAJBD Archives), is a domestic example of an initiative that has been established and maintained by community members and organisations (South African Jewish Board of Deputies, 2012). Like the Jewish archival repositories discussed above in other countries abroad, Rochlin Archives, has been collecting, storing, and making accessible documents, photographs, memorabilia, Judaica, books, pamphlets, oral recordings and audiovisual materials about Jewish life in South Africa. The archives includes some of the earliest synagogue, organisational, personal papers and other communal records. The archives also has a comprehensive newspaper cuttings collection, starting at the end of the 19th century. It includes significant files on the history of South African Jewry, other topics of Jewish interest and prominent personalities (Jewish and non-Jewish).

The archives also collects materials of community organisations such as the Synagogue Ladies Guild. These organisational collections are made up of minute books, original manuscripts, documents, correspondence and photographs. In addition, the archives provides a number of finding aids for their collections, such as the second edition of the Guide to the Archives, and a computerised index to more than 3000 images. For example, a decennial index for 1998–2008 to *Jewish Affairs* appeared in 2008 (South African Jewish Board of Deputies, 2012). Besides safeguarding community collections, the archives are also involved in other activities such as exhibitions and publications. According to their website, “Local and overseas researchers continue to make extensive use of the unique resources of the SAJBD's Archives” (South African Jewish Board of Deputies, 2012). The archives also provide links to sites of interest such as the Jewish

Genealogical Society of South Africa. The archive employs a full-time archivist and also uses the services of consultants.

#### **4.4.4 Gay and Lesbian Memory in Action (GALA)**

Although not an archive of an immigrant or ethnic group, but rather one based on sexual orientation, the GALA Archive is an example of a project launched by a community that has come together in South Africa to preserve its social history and experiences. Formerly called The Gay and Lesbian Archives, the Gay and Lesbian Memory in Action (GALA) “aims to construct memory and help to instil a sense of self-worth and political purpose in lesbian, gay, bisexual, transgender and intersex (LGTBI) communities in South Africa” (Gay and Lesbian Memory in Action, 2012). GALA is an NPO governed by a board of trustees who are elected for terms of five years. GALA also has a group of patrons including Archbishop Emeritus Desmond Tutu (Gay and Lesbian Memory in Action, 2012).

The actual archives of GALA was established in 1997, one year after the adoption of South Africa's new Constitution and the sexual orientation clause. The website explains that the founder of the archives, Graeme Reid, had a lot of records and other materials stored away in boxes at his house and he knew other people who did as well. Therefore, one of the driving forces behind GALA's establishment was to create a safe place in which to put these and other archival materials for the future so as to make sure that “... LGBTI people form part of the historical record of South Africa” (Gay and Lesbian Memory in Action, 2012).

The GALA website states that “... as a community archive, GALA is open to anyone interested in finding out more about South Africa's gay and lesbian past” (Gay and Lesbian Memory in Action, 2012). They collect a wide range of documentary material, artefacts and oral sources that detail social, political, legal, and cultural aspects of lesbian and gay life. Their collections include records of organisations as well as of individuals; media coverage; legal records; oral history interviews; photographs; letters; personal mementos and any other relevant documents that individuals and organisations have donated to the archives. The organisational records include those of organisations that

are (or were) involved in gay and lesbian issues and rights, such as the LGBT Joint Working Group.

The archives actively seek donations of materials, stating, “If you have any materials that you feel are relevant to the history of LGBT people and would like to donate and have preserved for future generations, please contact us. ... We will make all the arrangements for collection. We will discuss with you any restrictions you may want to place on how your collection gets used and draw up a formal contract” (Gay and Lesbian Memory in Action, 2012). The archive of GALA has a full-time archivist and administrative staff. The archives provides a range of finding aids to locate materials such as the Guide to Resources. In addition, GALA has a website which provides links to other related sites such as OUT-LGBT Wellbeing (Gay and Lesbian Memory in Action, 2012).

#### **4.4.5 University collections**

Various mainstream universities have also initiated programmes to collect and preserve the social memories and histories of certain communities in South Africa. Amongst these are the University of KwaZulu-Natal (UKZN), the University of South Africa (UNISA), and the University of Johannesburg (UJ).

##### **4.4.5.1 Gandhi-Luthuli Documentation Centre (University of KwaZulu-Natal)**

The Gandhi-Luthuli Documentation Centre is an example of a mainstream organisation, specifically a national tertiary institution – the University of KwaZulu-Natal – embarking on an initiative to document the history of a specific under-documented community in South Africa, namely that of the Indian community (University of KwaZulu-Natal, 2012). The centre was originally called the University Of Durban-Westville Documentation Centre. As a result of the merger between the University of Durban-Westville and the University of Natal in 2004, the University of KwaZulu-Natal (UKZN) was formed, and the centre was renamed the Gandhi-Luthuli Documentation Centre at the time.

In 1979, the Professor G.S. Nienaber, Chairman of the Council of the University of Durban-Westville motivated for the establishment of a

documentation centre to preserve the history of the Indian South African. According to the centre's website, up to 1979 no attempt had been made "to document the history of this minority group who arrived at the Cape from 1652 (Malays) and into Natal since 1860" (University of KwaZulu-Natal, 2012). Although originally established as an archive exclusively for the history of the Indian community, today the centre functions as an archive (and museum), extending its acquisition policy and activities by documenting the history of the region of KwaZulu-Natal in general. The website of the centre elaborates on this by explaining that, while the archives has a very large Indian collection, its extended scope includes a repository on the KwaZulu-Natal regional history, the history of resistance in the province, a record of contemporary events and many facets such as health, welfare, education, and housing. Other areas of specialisation of the centre also include history of women in resistance, history of organisations involved in the anti-apartheid activity, and history of the university community.

The records acquired by the centre include those of individuals, families, organisations and institutions. The centre goes on to say that these records are also available to trace one's ancestry and that "... this facility to trace one's heritage and family is unique in the country" (University of KwaZulu-Natal, 2012). Other core holdings include the Gandhi Collection, ship's list of indentured Indians, newspapers and newspaper cuttings, social welfare files, organisations (social, cultural, religious), photographs, and politics and political organisations collections.

Items are acquired by donations and purchases. The centre explains that as part of its ongoing service it encourages private organisations, individuals and families to donate their records for safe keeping and make these available through a highly advanced automated system of information storage and retrieval system (University of KwaZulu-Natal, 2012). The centre offers a range of finding aids, such as a computerised catalogue (in-house); a bibliography on Indians in South Africa, a guide to materials at the Documentation Centre. The centre is also on the National register, NAREM

for on-line retrieval, and has its own director and a number of librarians/archivists.

#### 4.4.5.2 Documentation Centre for African Studies – University of South Africa (UNISA)

The Documentation Centre for African Studies at the Archives and Special Collections section of the UNISA Library was originally established with the aim of collecting historical and contemporary materials concerning the black, coloured and Indian communities of Southern Africa. From 1994 onwards, however, the acquisition was broadened to include all population groups in South Africa. An example is the Hesse Collection of German Africana, which contains materials reflecting the German contribution to South African culture over many decades. The manuscripts in the Hesse Collection of German Africana consist of diaries (mainly 19th century missionaries of the Berlin and Hermannsburg Mission Societies), family histories, genealogies and biographies (University of South Africa, 2012).

The archives of various German organisations in South Africa are also housed in the UNISA Library, for instance the South African German Cultural Society, the *Deutschafrikanische Jugend*, the *Deutscher Lehrerverein*, the *Deutsch-Afrikanischer Studentenbund der Universität Pretoria* and the South African Association for German Studies (University of South Africa, 2012). Finding aids for these archival collections may be accessed through the university's online public access catalogues and via the National Register of Manuscripts (NAREM). The archives also have various printed catalogues, inventories and lists.

#### 4.4.5.3 Archiving, Institutional Repository and Special Collections – University Of Johannesburg (UJ)

Another example at a South African university collection is the Archiving, Institutional Repository and Special Collections section of the UJ Library (University of Johannesburg, 2012). Initially, the collection focused on the history of the Afrikaans and Greek communities on the Witwatersrand. However, the library explains that, in line with the important historical contribution by other cultural groups, inter alia, by historically disadvantaged



communities, the focus of the collection has now shifted to include materials from these groups as well. The collections have increased over the years and, due to mainly donations and bequests, have grown to include substantial collections on the history of other South African communities, such as the N.J. van Warmelo Collection, which provides valuable insight into the cultures of the black peoples of South Africa and Namibia. The areas of specialisation today are made up of, inter alia, holdings which are particularly strong with regard to the history of Johannesburg, the history of the Afrikaans community in Gauteng, the history of the Greek community in South Africa, and ethno-historical data on the black communities of South Africa.

Core holdings include personal papers and organisational records. Examples of important collections include ethnological research materials; photographs; minutes, correspondence and reports of various community organisations. The collections on the Afrikaans community consist of 131 collections which contain diaries, private and official correspondence, memoirs, biographies, manuscripts, annual reports of organisations, their minutes and annexures, financial reports, speeches, photos, et cetera. Among these, the following organisations are covered: *Afrikaanse Dameskring* (Johannesburg Branch), *Afrikaanse Sakekamer, F.A.K.*, *Gebiedskultuurraad* (Rand Central), Maria van Riebeeck Club, Industrial Development Corporation, and the *Witwatersrandse Toneelvereniging* (University of Johannesburg).

Regarding the Greek collections, since 1991 the South African Branch of the Lyceum of Greek Women had been collecting material on the Greek community in South Africa. In 1996 Dr Maria Katrakis, then chairperson of the Lyceum, recommended that this collection, consisting of original documents, photographs, newspapers and published material, be transferred to the Department of Greek and Latin Studies at the then Rand Afrikaanse Universiteit (RAU). After consultation, it was decided to move the Greek Archives to the Rare Book Collection, where a separate space was available for storing, safekeeping and the use of the material by researchers. In 2000, Mr E. Bertolis further supplemented the Greek Archives by donating a complete set of the South African Greek newspaper, *Ellenikos Tupos*.

Furthermore, records of community-based organisations were acquired. These include those of the Hellenic Archives of Southern Africa. New material is continually received and added to the collection, which remains under the control of the Lyceum of Greek Women (University of Johannesburg, 2012). There are various unpublished finding aids available for these collections. All materials housed in these collections are also listed on the University Library's public online catalogue. The catalogue is accessible via the library's home page. In addition, the collections are linked to the National Register of Manuscripts (NAREM), Photographs (NAREF) and Audio-Visual Material (NAROM).

#### **4.4.6 The National Archives and Records Service of South Africa**

Another mainstream institution, the National Archives and Records Service of South Africa (NARS) has also identified missing histories in own collections, or overall gaps in South Africa's national documentary heritage and has consequently also embarked on collecting initiatives to fill these lacunae. Although up to the 1990s, the then State Archives did hold various records relating to under-documented communities, most of these official records represented the experiences of these individuals and communities from the perspective of government departments. Examples included records documenting applications for permits for Zulus, Native Affairs Commission Inspection reports, illegal Portuguese immigrants, documents for immigrants requesting permission to enter South Africa, Indian farmers' applications for exemption for transport of farm produce, and so on.

However, as mentioned in chapter three, with the new National Archives and Records Service of South Africa Act (South Africa, 1996), there came an acknowledgement that, apart from the need to preserve these official records, there was also the need to document aspects of the nation's experience, neglected by archives repositories in the past, by collecting alternative materials. The NARS Act indicates that there are gaps in the documentation of our society's experiences. The mandate of the Act, which encourages NARS to collect not only government records, but non-public records as well, indicates a policy commitment from the government archives to fill these gaps

in our documentary heritage (South Africa, 1996: sections 3 & 14). This led to the inclusion of non-public records in the new Act of 1996. According to the Act, sections 3(a) and 3(d), the key objectives and functions of the National Archives include to “preserve public and non-public records of enduring value for use by the public and the state” and to “collect non-public records of enduring value of national significance which cannot be more appropriately preserved by another institution, with due regard to the need to document aspects of the nation's experience neglected by archives repositories in the past”. This is also confirmed by the actual official website of NARS which states: “A transformation imperative contained in our country's archival legislation requires as one of its foremost functions and objects that the National Archives and Records Service fills these apartheid-shaped gaps in the country's social memory by actively collecting non-public records of national significance with enduring value. The charge is to document all those aspects of the nation's experiences that had been neglected, thereby supplementing the information contained in our public records” (National Archives and Records Service of South Africa, 2012).

Within this context NARS began to collect alternative voices relating to underrepresented topics and communities, especially those relating to communities marginalised by apartheid. These are mainly in the form of what may be considered non-traditional notions of archival records, or as NARS explains, with postmodernist thought the definition of a record has been stretched, “emphasising the phenomenon of the record independent of the traditional concepts and location of custody” and, “Taken together with the idea that a record is essentially recorded information with enduring value without regard to form or medium, this thinking regarding custody and recordness means that rock paintings or heraldic markings on shields as well as the transmission of oral history could constitute archival records” (National Archives and Records Service of South Africa, 2012). Against this understanding of records, NARS has collected especially oral recordings of neglected communities. Of special significance is the National Oral History Programme. These projects may be found on the National Register for Oral Sources (NAROS) database.

There are also a few examples of the acquisition by NARS of community organisational records from non-government departments, especially defunct organisations such as the Zulu National Organisation, the Witwatersrand Jewish Aged Home, the Jewish Welfare Council in Johannesburg, and the Indian Child Welfare Society in Durban (National Archives and Records Service of South Africa, 2012). In addition NARS, through its national registers, especially its National Registers of Non-public Records and National Register of Oral Sources, does facilitate access to other archive repositories that may hold collections of specific under-documented themes and communities.

It is also important to note here that, although the immigration files held at the archives reflect the perspective of government and government departments such as Home Affairs, they do contain invaluable information on these individuals and communities, especially if read against the grain. Immigration files at NARS include health records, photographs, marriage licences and naturalisation records. The immigration records at NARS also provide genealogists with information such as individuals' race, nationality, place of birth; date of entry; age, height, eye and hair colour; profession; place of residence, and so on (National Archives and Records Service of South Africa, 2012). Nonetheless, although without doubt an important source of information relating to immigrants and their entry in and lives within South Africa, records generated and collected by mainstream government departments are still often criticised – or rather seen as biased – because they represent the story of these immigrants from the perspective of government officials and government agencies. This is also still the case of NARS which, as the national government repository, finds it difficult to break away from collecting only records of 'national significance' or records that narrate the stories *about* these communities and their interactions with the state, as opposed to those originating *from* them, such as some of the examples mentioned previously which include collections that are generated and maintained with more involvement from community members and community organisations. Although the NARS website states that it strives to be "a special resource for dealing with the social memory of our nation", in

reality, for the most part, the holdings of NARS continue to “reflect the activities of governments in South Africa” (National Archives and Records Service of South Africa, 2012).

#### **4.4.7 Concluding comment on South African initiatives**

There are other initiatives in South Africa to document the under-documented and to engage in related practices. However, as observed in chapter three, many of these communities and the programmes that document them, rely primarily on oral and other non-traditional archival objects to communicate their heritage – and therefore do not largely seek organisational records as a means to support their initiatives – such as the Centre for Popular Memory, the Alan Paton Centre Oral History collection at the University of KwaZulu-Natal, and the Sinomlando Centre for Oral History and Memory Work in Africa, amongst many other examples. There are many valid reasons for this, including the chief reality that many of these under-documented communities, localities or topics do not rely on traditional archival materials originating from formal community organisations (such as written records and electronic records generated by these), to safeguard and communicate their experiences and social memories. In such scenarios it may be best or more appropriate to initiate programmes that focus on oral histories, intangible cultural heritage, and other non-traditional archiving methods of preserving these memories. These programmes and projects are not examined for this study though, as they do not provide the insight sought regarding initiatives that draw upon community organisational records as an important means of preserving community histories and experiences, which is the main research problem this study set out to investigate.

## 4.5 Comparison matrix of the initiatives reviewed

The following matrix is based on the various initiatives reviewed above to document under-documented communities and related activities. The matrix identifies elements, topics and issues that are similar, but also those that are unique to each programme, project or initiative. From the matrix, a checklist was compiled which identified the key components of these initiatives. This checklist was essential in informing some of the questions to be asked at the interviews with South Africa's community-based Portuguese organisations.

**TABLE 4.1: COMPARISON MATRIX OF THE INITIATIVES REVIEWED**

<u>Organisation/ Programme/ Project</u>	<u>Mainstream /independent/ collaborative (type of affiliation)</u>	<u>Communities documented and/or themes</u>	<u>Patrons/ audience (profile)</u>	<u>Community participation in archiving issues</u>	<u>Custody approach</u>	<u>Types of materials</u>	<u>Funding sources</u>	<u>Human Resource Issues: staffing, volunteers &amp; Advisory boards, etc.</u>	<u>Originating sources of materials</u>	<u>Finding aids</u>	<u>Use of IT</u>	<u>Purpose or role of programme</u>	<u>Additional issues</u>
<b>The California Ethnic and Multicultural Archives CEMA (USA)</b>	Initiative affiliated to mainstream university	Ethnic groups: African Americans, Asian Americans, Latinos & Native Americans  Focus California	Mostly scholars, university staff, academics & students	Collaborates with communities to actively seek donations. CEMA takes full responsibility for organising, preserving and making the collections accessible.	Ownership transferred to university, however, communities participate in identifying relevant collections for acquisition	Personal papers, correspondence, diaries, photographs, minutes, agendas, pamphlets, audiovisual digital & oral recordings	From parent organisation, the university of California & additional funding	A director and archivists/librarians (some same ethnicity as groups documented)	Individuals and organisations	Available on university online public access catalogue (OPAC)	Digitisation of collections; Website; online retrieval	Document and preserve social memory of identified groups. Enhance research efforts in sociology, history and ethnic studies.	Collaborates with other institutions involved in similar efforts.  Has collection policy.
<b>Jacob Rader Marcus Center</b>	Affiliated to community college in Cincinnati.	Jewish social, secular and religious history in the US. National focus with slant towards Cincinnati.	College staff, researchers, academics, students & community members, and general public	Collaborates with community to actively seek donations.	Ownership transferred to college, however, stewardship approach by community members, and organisations are directly involved in	Personal papers, correspondence, diaries, photographs, minutes, naturalisation papers, genealogical charts, financial records,	From parent organisation, the Hebrew Union College & additional e.g. community individual and organisati	An executive director and archivists/Librarians (same ethnicity as group documented); an advisory board and an advisory council	Individuals and organisations	Online search facilities available on website and published finding aids such as archival guides	Digitisation of collections; Website; online retrieval	Research centre. Producing publications on Jewish and related themes.	Has collection Policy.

					archiving issues.	policies, pamphlets, audiovisual, digital & oral recordings	ons						
<b>The Polish Institute of Arts and Sciences of America Archives (PIASA)</b>	Affiliated to an independent non-profit community organisation.	History of Polish Americans; National focus	Scholars, researchers, community members, and general public	Community organisations & members actively involved in identifying relevant collections, and other archiving issues. Also offers community members & organisations assistance in managing their own records and archives.	Records transferred to PIASA, however, stewardship approach by community members, and organisations are directly involved in archiving issues.	Personal papers, correspondence, diaries, photographs, minutes, financial records, maps, policies, pamphlets, audiovisual, digital & oral	From parent & community individuals and organisations	An archivist (same ethnicity of group documented)	Individuals and organisations	Online inventory and published guide	Website acts as network to related community organisations; online retrieval.	Research centre. Producing publications on Polish American related topics.	Has collection Policy.
<b>'History of Boston's under-documented communities' project</b>	Initiative affiliated to mainstream university.	African American, Chinese, Latino, and gay & lesbian communities. Local focus on social welfare and social reform (Boston).	Mostly staff, researchers, academics, students & community members	Collaborates with advisors from communities to actively seek donations and plan for the preservation of the collections. Offers community members & organisations assistance in managing their own records and archives. Takes full responsibility for organising, preserving and making donated collections accessible.	Ownership transferred to university. However, communities assist in identifying relevant collections.	Personal papers, correspondence, diaries, photographs, minutes, financial records, policies, pamphlets, audiovisual, digital & oral recordings	From parent organisation, Northeastern University	Archivists/Librarians	Individuals and organisations	Available on University's online public access catalogue.	Website encourages community participation in archiving	Document and preserve social memory of identified groups. Enhance research efforts in sociology, history and ethnic studies	Has collection Policy. Follows a Documentation Strategy.  Collaborates with other institutions involved in similar efforts.
<b>The Immigration History Research Center archives (IHRC)</b>	Initiative affiliated to mainstream university	Diverse immigrant groups in the US. Local focus: Minnesota & Midwest	University staff, researchers, academics, students &	Collaborates with community to actively seek donations.	Ownership transferred to university, however, communities	Newspapers, personal papers, correspondence, diaries,	From parent organisation, University of Minnesota	Archivists/Librarians	Individuals and organisations	Online guides available on university's online public	Website provides links to similar initiatives & sites on immigration	Promotes research on migration, immigrant and refugee life in the US; gender	Collaborates with other institutions involved in similar efforts.  Selection guidelines and

			community members, and general public		participate in identifying relevant collections.	photographs, minutes, financial records, pamphlets, audiovisual, digital & oral recordings	a			access catalogue	on studies	studies, & ethnicity	collection policy
<b>The Hellenic Museum and Cultural Center in Chicago (HMCC)</b>	Independent community initiative	Greek community in the US National focus with slant towards Chicago	Community members, researchers, and general public	Community organisations & members actively involved in identifying relevant collections, and other archiving issues.	Records transferred to HMCC, however, stewardship approach by community members and organisations directly involved in archiving issues.	Personal papers, correspondence, photographs, minutes, financial records, policies, pamphlets, audiovisual, digital & oral recordings	Funded by community members, organisations & Greek government.	Archivist/Curators (of Greek ethnicity). Also has Board of Directors.	Individuals and organisations	Online search facilities available on website and published finding aids such as archival guides.	Website provides links to community organisations	A museum & a community centre where community members meet & network. Family & community history and genealogy research.	Provides tours and outreach programmes to community members and general public
<b>Ferreira-Mendes Portuguese-American Archives</b>	Collaborative initiative between community and mainstream university	History of Portuguese-Americans. National focus	Staff, scholars, researchers, academics, students, & community members	Close relationship with community for advice on what to preserve and in seeking donations	Ownership transferred to university, however, communities participate in identifying relevant collections & organising the collections.	Newspapers, personal papers, correspondence, diaries, photos, minutes, financial records, policies, pamphlets, audiovisual, digital & oral recordings	From an endowment fund and parent body, University of Massachusetts; Donations from community, and the Portuguese government.	Director and archivists/librarians (same ethnicity of community)	Individuals and organisations	Finding aids available on university's online public access catalogue	Digitisation of collection Website links to other related organisations; Online retrieval	Document and preserve social history of Portuguese American community. Enhance research efforts in history, immigrant and ethnic studies. Produces publications on relevant topics.	Has collection policy
<b>Scottish Jewish Archives Centre in the UK</b>	Independent community archive initiative affiliated with a synagogue.	Jewish social, secular and religious history in the UK. Focus: Scotland	Scholars, researchers, community members, tourists, & general public	Close relationship with community for advice on what to preserve and in seeking donations. Takes full responsibility for organising, preserving and making	Records transferred to the synagogue, however, stewardship approach by community members and organisations directly	Personal papers, correspondence, diaries, photos, minutes, financial records, policies, pamphlets, audiovisual, digital &	Project funded by community members and organisations and donations	Archivist and volunteers (same ethnicity as community)	Individuals and organisations	Search facilities and online guides to the archives available on website.	Website links to other related organisations and related resources	Document and preserve social history of the Jewish communities of Scotland. Stimulate research into their history. Produces publications on relevant topics	Has collection Policy. Holds regular Exhibitions.  Collaborates with other institutions involved in similar efforts.



				collections accessible.	involved in archiving issues.	oral recordings							
<b>The Polish Social &amp; Cultural Association Library (POSK)</b>	Independent community archive initiative affiliated with a community association.	Anglo-Pole social history in the UK. National focus	Scholars, researchers, community members & general public	Close relationship with community for advice on what to preserve and in seeking donations	Records transferred to POSK, however, stewardship approach of community directly involved in archiving issues.	Personal papers, correspondence, diaries, photos, minutes, policies, pamphlets, audiovisual, digital & oral recordings	Project funded by community members and organisations and donations.	Archivist and volunteers (same ethnicity as community)	Individuals and organisations	Search facilities and online guides to the archives available on website.	Website links to other related organisations and related resources	Document and preserve social history of the Polish communities in the UK. Stimulate research into their history.	Has collection Policy. A social centre where community members socialise and network
<b>National Archives in the UK</b>	Mainstream National Archives initiatives	Various under-documented communities. National focus	Researchers, academics, students & community members, and general public	Receives most materials from government depts. Also collaborates with communities in seeking donations. Participatory online community archiving initiative called 'your archives'.	Ownership transferred to NA.	Personal papers, correspondence, diaries, photos, minutes, financial records, policies, pamphlets, audiovisual, digital & oral recordings	From government.	Government officials/Archivists	Individuals and organisations and government departments	Various finding aids available on its online public access catalogues.	Website provides links to resources on various ethnic immigrant minority and other under-documented communities	Other than providing a service for government departments, NA also promotes research on UK history and contemporary issues,	Has collection Policy.  Most records reflect the experiences of these communities from the perspective of the state.
<b>Cambridge Community Archive Network (CCAN)</b>	County-wide network of collaborative initiatives between communities and mainstream institutions	Various under-documented localities, themes & ethnic communities. Local focus: Cambridge county	Researchers, academics, students & community members, and general public	Close relationship with communities for advice on what to preserve and in seeking donations. Participatory online community archiving	Records remain in the custody of the community/community organisations.	Digitised personal papers, correspondence, diaries, photos, minutes, financial records, policies, pamphlets, audiovisual, digital & oral recordings	Funded by Heritage Lottery Fund.	Archivists, librarians and staff of the various participating heritage institutions; steering committee; volunteers	Individuals and organisations	Various finding aids available on the online network.	An online digital network of community archives. Website provides links to resources on various ethnic, minority and other under-documented communities	Document and preserve social history of the diverse communities that make up Cambridge county	Cross searchable network of approximately 50 digital archive groups
<b>Japanese Canadian National</b>	Independent community initiative affiliated	Japanese community in Canada.	Scholars, researchers,	Community organisations & members	Records transferred to JCNM,	Personal papers, correspondence	Funding from Nikkei	A director, archivists and curators/	Individuals and organisations	Search facilities and	Website links to other	Document and preserve social history	Has collection Policy. A cultural centre

<b>Museum (JCNM)</b>	to an independent non-profit community museum,	National focus	community members, and general public	actively involved in identifying relevant collections, and other archiving issues. Also offers community members & organisations assistance in managing their own records and archives.	however, stewardship approach by community members and organisations directly involved in archiving issues.	ence, diaries, photos, minutes, financial records, maps, policies, pamphlets, audiovisual, digital & oral recordings	Place Foundation and community organisations.	A committee of volunteers		online guides to the archives available on website.	related organisations and related resources and events	of the Japanese communities in Canada.  Stimulate research into the history of Japanese Canadians.	where community members socialise and network. Public programs, exhibits and publications
<b>Special Collections and Rare Books section at Simon Fraser University Library</b>	Initiative affiliated to mainstream university.	Digital project to document immigrant and minority groups. National Canadian focus	University staff, researchers, academics, students & community members, and general public	Collaborates with community to actively seek donations.	Ownership transferred to university, however, communities participate in identifying relevant collections.	Digitised personal papers, correspondence, diaries, photos, minutes, financial records, policies, pamphlets, audiovisual, digital & oral recordings	From parent organisation, Simon Fraser University.	Archivists/Librarians	Individuals and organisations	Online inventory available on university's online public access catalogue.	Website provides links to similar initiatives	Promotes research on immigrant and ethnic studies	Provides community organisations assistance on managing and preserving their own records
<b>Library and Archives Canada</b>	Mainstream national initiatives	Various under-documented communities. National focus	Researchers, academics, students & community members, and general public	Receives most materials from government depts. Also collaborates with communities to seek donations. Toolkit for communities on developing community archival collections.	Ownership transferred to NA.	Personal papers, correspondence, diaries, photos, minutes, financial records, policies, pamphlets, audiovisual, digital & oral recordings	From government.	Government officials/archivists	Individuals and organisations and government departments	Various finding aids available on its online public access catalogues.	Website provides links to resources on various under-documented communities. Offers Multicultural resources portal	Other than providing a service for government departments, also promotes research on Canadian history and contemporary issues,	Has collection Policy.  Most records reflect the experiences of these communities from the perspective of the state.
<b>Portuguese-Canadian History Project</b>	Collaborative initiative between community and mainstream university.	History of Portuguese-Canadians. National focus	Staff, scholars, researchers, academics, students & community members	Close relationship with community for advice on what to preserve and in seeking donations.	Ownership transferred to university, however, communities participate in	Newspapers, personal papers, correspondence, diaries, photos, minutes,	From parent body, York University.  Donations from	Director and archivists/Librarians (same ethnicity of community)	Individuals and organisations	Finding aids available on university's online public access catalogue	Digitisation of collections; Website links to other related organisations	Document and preserve social history of Portuguese Canadian community. Enhance research efforts in	Has collection Policy.  Online displays

					identifying relevant collections & organising the collections.	financial records, policies, pamphlets, audiovisual, digital & oral recordings	community members & organisations.				ons; online retrieval	history, immigrant and ethnic studies. Produce relevant publications.	
<b>Polish Historical Institute in Australia</b>	Affiliated to an independent non-profit community organisation. Collaborative initiative with the National Library of Australia.	History of Poles in Australia. National focus	Scholars, researchers, community members and general public	Community organisations & members actively involved in identifying relevant collections, and other archiving issues. Also offers community members & organisations assistance in managing their own records and archives.	Records transferred to the National Library of Australia, however, ownership remains with the community/ a community organisation(s).	Personal papers, correspondence, diaries, photos, minutes, financial records, maps, policies, pamphlets, audiovisual, digital & oral recordings	Donations and grants from community individuals and organisations.	Archivists/Librarians from the National Library of Australia & representatives from PHIA (latter the same ethnicity of group documented)	Individuals and organisations	Online inventory and published guides on PHIA website; and finding aids available through the National Library of Australia.	Website acts as network to related community organisations; online retrieval	Producing publications on Polish related topics.	Has collection Policy.  Cooperates with organisations engaged in similar initiatives
<b>The Archives of Australian Judaica</b>	Collaborative initiative between community and mainstream university.	History of Jews in Australia. National focus	Staff, scholars, researchers, academics, students & community members	Close relationship with community for advice on what to preserve and in seeking donations. Communities participate in identifying relevant collections.	Although records transferred to university, ownership often remains with community organisations or individuals who grant access permission.	Newspapers, personal papers, correspondence, diaries, photos, minutes, financial records, policies, pamphlets, audiovisual, digital & oral recordings	From independent fund, the Mandelbaum Trust. Donations from community members & organisations.	Director and archivists/librarians (some of the same ethnicity of community)	Individuals and organisations	Finding aids available on university's online public access catalogue & printed finding aids.	Digitisation of collections; Website links to other related organisations; Online retrieval	Document and preserve social history of Jewish community. Enhance research efforts in history, immigrant and ethnic studies. Produce relevant publications.	Has collection Policy.  Semi confidential records placed on restricted access
<b>Italian Historical Society</b>	Affiliated to an independent non-profit community organisation.	History of Italians in Australia. National focus	Scholars, researchers, community members, and general public	Community organisations & members actively involved in identifying relevant collections, and other archiving issues. Offers	Records transferred to IHS, however, stewardship approach by community members and organisations directly	Personal papers, correspondence, diaries, photos, minutes, financial records, maps, policies, pamphlets,	From parent body, the <i>Museo Italiano</i> & community individuals and organisations.	Archivist(s)/curators (same ethnicity of group documented)	Individuals and organisations	Online inventory and published guide. Browsing facilities on website.	Website acts as network to related community organisations; Online retrieval	Research on family history/genealogical research Producing publications on Italian-Australian related topics. Publishes bi-annual journal	Has collection policy

				community members & organisations assistance in managing their own records and archives.	involved in archiving issues.	audiovisual , digital & oral recordings							
<b>Tchiweka Document Centre (Africa)</b>	Independent non-profit organisations.	History of the underrepresented stories of the liberation struggle in Angola. National focus	Scholars, researchers, and general public	Organisations & members of society involved in identifying relevant collections.	Ownership transferred to the centre.	Personal papers, correspondence, diaries, photos, minutes, financial records, pamphlets, audiovisual , digital & oral recordings	From the Nordic Africa Institute.	Archivists	Individuals and organisations involved in the liberation struggle	Browsing facilities on website.	Website acts as network to related organisations; Online retrieval; Digitisation project.	Producing publications on relevant related topics.	Has collection policy
<b>Swapo Party Archive &amp; Research Centre (SPARC)</b>	Independent initiative affiliated to a political party.	History of the underrepresented stories of the liberation struggle Namibia. National focus & focus on Swapo records	Scholars, researchers, and general public	Organisations & members of society involved in identifying relevant collections.	Ownership transferred to Swapo.	Personal papers, correspondence, diaries, photos, minutes, financial records, pamphlets, audiovisual , digital & oral recordings	Mostly from Swapo.	Archivists	Individuals and organisations involved in the liberation struggle	Browsing facilities on website.	Website acts as network to related organisations; Online retrieval	Produces documentaries.	Has collection policy
<b>Nelson Mandela Centre of Memory Anti-Apartheid Movement Archives (South Africa)</b>	Affiliated to an independent non profit organisation, the Nelson Mandela Foundation.	History of the underrepresented stories of the anti-apartheid movement and liberation struggles. National focus	Scholars, researchers, community members, and general public	Community organisations & members involved in identifying relevant collections, and other archiving issues.	Ownership transferred to the foundation however, communities assist in identifying relevant collections.	Personal papers, correspondence, diaries, photos, minutes, financial records, maps, policies, pamphlets, audiovisual , digital & oral recordings	From parent body, the Nelson Mandela Foundation, and public donations .	Archivists/ A board of trustees	Anti apartheid individuals and organisations	Online inventory and published guide; browsing facilities on website.	Website acts as network to related organisations; Online retrieval	Producing publications on relevant related topics.	Has collection policy
<b>The South African History Archive Trust</b>	An independent non-profit trust.	History of the underrepresented stories of the anti-apartheid	Scholars, researchers, community	Community organisations & members involved in	Records are housed at Wits University	Personal papers, correspondence,	From public donations and	Archivists/ A board of trustees	Anti-apartheid individuals and organisations	Online inventory and published	Website acts as network to related	Producing publications on relevant related topics.	Has collection Policy. Outreach projects

<b>(SAHA)</b>		movement, and past and contemporary liberation struggles. National focus	members and general public	identifying relevant collections, and other archiving issues.	however, ownership remains with SAHA.	diaries, photos, minutes, financial records, maps, policies, pamphlets, audiovisual , digital & oral recordings	donations from mainstream institutions.			guide; browsing facilities on website. Access also available through Wits OPAC.	organisations; Online retrieval. Digital partnership with DISA		Exhibitions and displays
<b>The South African Jewish Board of Deputies Rochlin Archives</b>	Affiliated to community organisation, the Jewish Board of Deputies.	Jewish social, secular and religious life in South Africa. National focus	Researchers, academics , students & community members, and general public	Collaborates with community to actively seek donations.	Records transferred to the board, however, stewardship approach by community members and organisations directly involved in archiving issues.	Personal papers, correspondence, diaries, photos, naturalisation papers, genealogical charts, financial records, policies, pamphlets, audiovisual , digital & oral recordings	From parent organisation, the Jewish Board of Deputies & additional , e.g. community individuals and organisations.	An executive board and archivist and volunteers (same ethnicity as group documented); consultants	Individuals and organisations	Online search facilities available on website and published finding aids such as archival guides.	Digitisation of collections; Website; Online retrieval	Research centre. Producing publications on Jewish and related themes.	Has collection Policy.  Holds exhibitions
<b>Gay and Lesbian Memory in Action (GALA)</b>	A independent non-profit trust.	LGBT communities in South Africa. National focus	Community members, researchers and general public	Community organisations & members actively involved in identifying relevant collections, and other archiving issues.	Records transferred to GALA, however, stewardship approach by community members and organisations involved in archiving issues.	Personal papers, correspondence, diaries, photos, minutes, financial records, policies, pamphlets, audiovisual , digital & oral recordings	Funded by community members and organisations.	Archivists and volunteers/ Board of trustees	Individuals and organisations	Online guide available on website.	Website provides links to similar initiatives and LGBT organisations	Publications Enhances research on LGBT issues.	Has collection policy.  Provides regular exhibitions
<b>Gandi-Luthuli Documentation Centre (UKZN)</b>	Initiative affiliated to mainstream university.	Mainly history of Indian South Africans. National focus with a slant towards Kwa-Zulu Natal	Mostly scholars, university staff, academics & students, and community members & general public	Collaborates with communities to actively seek donations & purchases. Takes full responsibility for organising, preserving and making the collections	Ownership transferred to university, however, communities participate in identifying relevant collections	Personal papers, correspondence, diaries, photos, minutes, agendas, pamphlets, audiovisual , digital & oral	From parent organisation, UKZN	A director and archivists/Librarians (some same ethnicity as groups documented)	Individuals and organisations	Available on university's online public access catalogue . Part of NAREM.	Digitisation of collections; Website; Online retrieval	Document and preserve social memory of identified groups. Family genealogy. Enhance research efforts in support of University	Collaborates with other institutions involved in similar efforts.  Has collection policy.

				accessible.	for acquisition.	recordings						curriculum.	
<b>Documentation Centre for African Studies (UNISA)</b>	Initiative affiliated to mainstream university.	Various black, coloured and Indian communities. In addition German Africana, amongst others. National focus	Mostly scholars, university staff, academics & students	Collaborates with communities to seek donations. Takes responsibility for organising, preserving and making the collections accessible.	Ownership transferred to university, however, communities assist in identifying relevant collections for acquisition.	Personal papers, correspondence, diaries, photos, minutes, agendas, pamphlets, audiovisual, digital & oral recordings	From parent organisation, UNISA.	A director and archivists/Librarians	Individuals and organisations	Available on university's online public access catalogue. Also includes printed catalogue.	Digitisation of collections; Website; Online retrieval	Document and preserve social memory of identified groups. Enhance research efforts in support of University curriculum.	Collaborates with other institutions involved in similar efforts.  Has collection policy.
<b>Institutional Repository and Special Collections (UJ)</b>	Initiative affiliated to mainstream university.	Mainly Afrikaans community & Greek South Africans and black communities. Focus: 'Witwatersrand' and Johannesburg	Mostly scholars, university staff, academics & students, and community members	Collaborates with communities to actively seek donations. Takes full responsibility for organising, preserving and making the collections accessible.	Ownership transferred to university, however, the Greek collection remains under control of the Lyceum of Greek Women.	Personal papers, correspondence, diaries, photos, minutes, agendas, pamphlets, audiovisual, digital & oral recordings	From parent organisation, UJ.	A director and archivists/Librarians (some same ethnicity as groups documented)	Individuals and organisations	Available on university's online public access catalogue. Part of NAREM, NAREF & NAROM.	Digitisation of collections; Website; Online retrieval	Document and preserve social memory of identified groups. Enhance research efforts in support of University curriculum.	Collaborates with other institutions involved in similar efforts.  Has collection policy.
<b>National Archives and Records Services of South Africa (NARS)</b>	Mainstream national initiatives.	Various under-documented communities, especially through oral history projects. National focus	Researchers, students & community members, and general public	Receives most materials from government depts. Collaborates with communities in seeking oral recordings.	Ownership transferred to NA.	Personal papers, photos, financial records, pamphlets, digital & oral recordings	From government.	Government officials/Archivists	Individuals and organisations and government departments	Various finding aids available on online public access catalogue.	Website provides links to Oral History Program. Through its search facilities	Other than providing a service for government departments, also promotes research on South African history	Most records reflect the experiences of these communities from the perspective of the state.

#### **4.5.1 Comments relating to the patterns observed in the comparison matrix**

It is evident from the above matrix (Table 4.1) that certain patterns can be observed that identify – inter alia – components, approaches and themes which are common to most of the initiatives reviewed. At the same time, there were also significant variations between corresponding initiatives. Certain initiatives also showed unique features that if, for instance, incorporated into other archival programmes and projects, could contribute to an improvement in best practice. These correlations are discussed below:

As mentioned in the introduction to this chapter, what became apparent from the initiatives reviewed was the wide variety of approaches to documenting the under-documented, creating community collections and related practices. Certain countries had a slant towards or ‘preference’ for a certain approach but, even in these, various frameworks or models are discernible. For example, although, in the United States, mainstream universities often initiate these programmes, there are also a fair number of enterprises established by independent community centres, institutes, charity organisations, amongst others, such as PIASA, and the HMCC. In the UK these initiatives most often manifest as community programmes, such as the Northamptonshire Black History project, the Scottish Jewish Archives and POSK. In addition, in the UK, some of these community projects have also recently morphed into online networks of community archives. On the other hand, Australia and Canada, with their strong cultural diversity ethos and government multicultural policies, have tended to find support in many mainstream institutions for such initiatives, including from their respective national archives. In South Africa, most of these initiatives are the result of the efforts of non-public institutions, such as the Nelson Mandela Foundation of Memory, SAHA, GALA, and the South African Jewish Board of Deputies archives. There have also been a few programmes at mainstream institutions, such as Ghandi-Luthuli Documentation Centre at UKZN, initiatives at the Institutional Repository and Special Collections section of UJ, and limited initiatives at the NARS, especially in the form of oral history projects.

With regard to the programmes or projects initiated by the mainstream institutions, universities were the most visible in all the countries reviewed, especially in the US.

What was observed in the programmes and projects initiated by these institutions, is that physical custody of the materials is most often transferred to the university. A stewardship approach of custody is often sought to a degree, with community members and/or organisations assisting or participating in identifying relevant collections, and at times even assisting in other archiving issues, such as participatory organisation of the collections.

The initiatives that originated from mainstream universities also tended to have a broader collection policy, for instance, a national focus or a move to collect materials of various immigrant and ethnic groups instead of only one community. This may arguably be considered a positive feature, since it allows for – as noted by the various university websites reviewed – other uses for these collections, such as enhancing research into broader fields like comparative gender studies, immigrant and ethnic studies; contributing to academic publications on related themes; and supporting the university's curriculum. On the other hand, because these collections are relatively removed from the communities themselves, the users tend to be researchers and students and academics within the universities rather than community members themselves.

Another debatably constructive characteristic of these initiatives is that universities usually take responsibility for appraising, organising, preserving and making these collections accessible. Often communities and their organisations and individuals do not have the resources to take on these responsibilities themselves, and therefore may appreciate and even call for the assistance from these mainstream institutions. Archival collections at universities often have access to more financial resources through funding from their parent institutions and government. In addition, these archive departments usually have access to other resources, infrastructure and equipment such as ICTs to support these initiatives, including online retrieval capabilities, digitisation technologies, established websites, and so on. Furthermore, they also have qualified staff who are knowledgeable about archives and records management practices, including know-how of appraisal techniques, arrangement, creating appropriate finding aids, and preservation skills.



On the other hand, this may have an adverse affect, especially if these responsibilities are entirely taken on by the universities. As noted in chapter three, community input into archiving issues – or ‘participatory archiving’ – such as participatory appraisal, arrangement and description of collections – may enhance the legitimacy and overall understanding of these collections. Community participation in these is often recommended because community members probably have better insight into their own social structures and history, essential wisdom when appraising and arranging these collections. What was observed in the initiatives reviewed is that, at times, these university programmes have employed or used volunteers of the same cultural background, faith or ethnicity of the communities being documented, as a means to partially address the need for community participatory archiving.

Another feature observed in these university initiatives was that, even with those that did not embark on a formal partnership or collaborative agreement with communities, they often engaged in collaborative practices with other organisations or institutions involved in similar collecting efforts. The websites reviewed indicated that they would often cooperate with others with a view to indentifying gaps that needed to be filled and, equally important, to avoid overlap in collecting endeavours.

Other mainstream types of institutions sometimes involved in documenting the under-documented, included among the countries examined, were the national archival repositories. With reference to these, the reviewed websites of the various national archives revealed that, as with the university programmes, each of them also focused on a diversity of communities, thus enhancing the possibility of interdisciplinary research into fields such as comparative ethnic and immigrant studies, gender studies, refugee life and sociology. Another notable use of these records in these institutions is in the field of genealogy. However, as noted earlier, most of these records tend to be created by government departments and officials, and consequently research they generate may be biased, based mostly on records about these communities from the perspective of government. Efforts have been made to transform this narrative, especially with oral history projects, where stories of community members are recorded.

What was also observed with national archives initiatives, is that in the case of collections that are donated by community members and organisations, ownership of these materials is transferred to these respective national archives. However, unlike universities, a stewardship approach to custody is seldom sought. The national archives often take full custody, intellectual and physical, of the collections donated to them. Community members and/or organisations have little involvement in these collections once they have been donated and transferred to the archives, with little or no participatory archiving. Attempts are, however, being made by some national archives to adopt more participatory approaches with communities, especially in the case of digital initiatives, such as the online 'Your Archives' project in the UK, where the public in general are invited to contribute their social memories and experiences to a participatory website. In addition, since most collections are physically transferred to a central location, which may be a distance from communities that have donated materials, this results in a situation resembling that of universities, where these collections become detached from the communities involved. Accordingly, users are rarely community members themselves, but more likely researchers and scholars.

In the case of independent community-based initiatives, such as those that reside solely with community organisations and centres, charity and non-profit organisations, historical societies, and so on, there is a trend to follow a strong stewardship approach to the safekeeping of their records. Even in instances where various community-based organisations transfer their records to a central independent community organisation, the websites reviewed revealed that community members and/or organisations continued to be actively involved, participating in identifying relevant collections, and assisting in other archiving issues, such as participatory appraisal, arrangement and description. In many cases, the donating community organisations had the final say in what access should be granted or restricted. Several of these independent initiatives form advisory boards which include representatives from the various community organisations that are generating and donating these records. These boards play an important role in determining the collection policy, the mission and the overall management of the archival programme. Often the original members of these advisory

boards are those who saw the need, and took the initiative, to set up these programmes and projects.

Independent community initiatives tend to have a narrower collection policy than mainstream programmes: they concentrate on materials pertaining only to their own cultural, immigrant or ethnic group, or have a local focus. Similarly, the staff, volunteers and members of the advisory boards are predominantly of the same cultural background, linguistic group, ethnicity, and/or faith of the communities being documented. As a result of their close relationship with their specific community individuals and organisations, the users of these collections are mostly community members and staff from the community-based organisations, especially when these initiatives are housed in community-type centres such as the reviewed example of the Hispanic Cultural Center in the US. This could mean that research is limited to, for instance, family and genealogical research. Independent initiatives that obtain a certain degree of status and prominence are, however, able to attract additional types of users, such as the Japanese Canadian National Museum, The American Jewish Archives, and the GALA Archives in South Africa, which also draw researchers, scholars and professional historians. The websites revealed that these more established, independent initiatives are also often involved in publications and contribute to research articles and journals, and even describe themselves as research centres.

The websites reviewed illustrated that, unlike mainstream initiatives, often independent initiatives do not have the resources to take on all the responsibilities associated with an archival programme, especially financial resources. Contrary to collections held at mainstream universities and government archives, which are funded by their parent institutions and government, these independent initiatives need to secure funding through a variety of sources, such as public and community donations, membership fees, foundations, and so on. In addition, these autonomous programmes and projects sometimes do not have the same level of access to other resources to support these initiatives, such as building and equipment infrastructures, ICTs, digitisation technologies, established websites, qualified staff with archives and records

management skills, and so on. To acquire these they often have to embark on proactive fund raising and promotional activities to assure their continued existence.

The reviewed websites also demonstrated that, as these independent initiatives are attached or affiliated to community organisations such as community centres, museums and associations, they often act as social spaces for community members, providing a place where individuals interact, network and socialise. This was also observed in the literature reviewed in chapter two, where it was noted that community organisations often serve to strengthen community identity and expand family and friendship ties within the community, thus creating a larger social network where people meet and make contacts, and support one another emotionally, socially and financially. These settings also provide community members and the wider public with tours, film festivals, outreach programmes, exhibitions and displays. In addition, the websites of these organisations frequently offer community members an online network of links to other community organisations and resources, blogs and discussion forums where community members can exchange ideas with one another. They can work as digital environments where community events are publicised, community news is disseminated and so on.

Finally, the websites reviewed demonstrated that many of the initiatives relied firmly on some sort of collaboration, regardless of whether the programme or project originated from a mainstream institution or directly from community members and the community-based organisations that represent them. These findings confirm those of the literature review in chapter three. Whatever the type of initiative, partnerships, relationships and cooperation – in one form or another – often occur, although they vary, depending on the type of initiative. For instance, collecting efforts initiated by mainstream institutions such as universities will generally seek collaboration in the form of community member input, such as advice concerning the identification of collections held within the community. They may also form advisory teams which include members of the community. Many mainstream institutions also seek partnerships with other mainstream bodies to avoid overlapping in collecting efforts.

On the other hand, the reviewed websites revealed that non-public independent initiatives that are born directly from the community are more likely seek cooperation with mainstream institutions in order to obtain advice on how to manage their collections. These may also seek assistance with issues such as preservation and digitisation because they might lack the resources to embark on such endeavours independently. In addition, they may request the assistance of mainstream institutions to actually house their collections if the former lack the physical infrastructure to do so, such as PHIA that transfers its records to the National Library of Australia as part of a 'stewardship' arrangement. Many independent initiatives also seek joint efforts with other independent initiatives that are engaged in similar collecting efforts to enable them to decide on their collection policies, their geographical delimitations, collecting themes and periods, and so on.

Whatever the approach – mainstream, independent or collaborative – a common feature observed in all the initiatives reviewed, stemmed from the originating sources of the materials, and the types of materials received. In practically all of these, materials were welcomed from both community members and organisations. The organisational records received were from a wide range, comprising those from charity organisations, fraternal, religious, cultural, historical societies, news agencies, youth groups, women's clubs, and sports associations, to name but some. The types of materials collected were also common to nearly all the programmes and projects. These included personal papers, diaries, letters, correspondence, minutes, agendas, financial records, policies, pamphlets, photographs, audiovisual materials, digital objects and oral recordings.

Additional observations also revealed that, while records of these communities which are identified as having some sort of national significance, are at times acquired by the national archives and other mainstream archives of these respective countries, records of largely local interest are more likely to be deposited with an independent programme, such as a non-profit organisation, a historical society, a local community museum, and so on. In some cases, they may be kept within a community-based organisation, such as a community centre or even a religious space, such as a synagogue.

An important development observed in many of the above overseas websites reviewed, was the formation of special interest groups, advisory bodies, forums and so on, to discuss, share, and advocate the importance of documenting the under-documented, community archiving and related programmes. These have often provided support in the establishment of the above initiatives, such as the Association of Canadian Archivists' Special Interest Section on Aboriginal Archives, and the Community Archives Interest Group of the Archives and Records Association in the UK.

Another significant observation is the impact of ICTs on these initiatives. Not only have records become electronic, but many of these initiatives rely on an online presence, having their own websites, blogs and so on. Some initiatives, such as the Multicultural Canada initiative, have become solely digital. Often these digital initiatives follow the trends that many other general electronic records programmes do, that of a distributed post-custodial approach to the custody of their records, which entails holding records at the organisations that create them. However, cooperation may be sought to make these collections more visible on networks that link initiatives of a similar nature, such as the CCAN network. The Internet has also provided communities with the opportunity to form digital networks where they share, participate, contribute, view their histories, and make their records available to a wider audience. These findings confirm those of the literature reviewed in chapter three.

#### **4.5.2 The checklist**

The following checklist summarises the various components of the initiatives contrasted in the matrix above:

- Mainstream, independent or collaborative approach to archival collecting initiative
- Affiliation of the initiative or programme (linked to a university, historical society, etc.)
- Who started the initiative – 'archival activism' (a community member, a mainstream archivist, etc.)?
- Collection policy/documentation strategy (such as, materials to collect – famous community members or day-to-day accounts, geographical delimitations, and themes)

- Extent of participatory archiving, including participatory appraisal and so on
- Cooperation between collecting programme and the community being 'documented' (advisory boards, etc.)
- Custody approach (traditional custody or stewardship/post-custodial)
- Staffing (qualifications, use of volunteers, 'ethnic heritage' of staff, etc.)
- Originating sources of materials/donors (organisational, individuals, etc.)
- Types of collections (personal papers, organisational records, oral history projects and so on)
- Format of materials (paper based, maps, audio visual, digital, oral, etc.)
- Types of records (such as correspondence, diaries, financial records, letters, and minutes)
- Groups being documented
- Themes/focus of collections
- Funding sources (from whom; initial and ongoing funding)
- Finding aids (paper-based inventories, online guides, online public access catalogues, etc.)
- Use of ICTs (digitisation of materials, online/website presence, blogs, digital initiatives, online access and networks)
- Purpose or role of initiative (preserve community history, interdisciplinary research, contribute to publications, wider 'social' contributions, etc.)
- Audiences/users of the collection(s): community members and/or mainly other researchers
- Outreach and promotional strategies

The above checklist was important in identifying the main issues represented in the various initiatives. Additionally and principally, it was essential to informing the questions that were asked at the interviews, and it assisted in the formulation of some of the recommendations suggested for this study.

#### **4.6 Summary of chapter four**

A review of relevant websites (and when deemed necessary, and when available, a review of relevant literature as well) was conducted for this study in order to examine examples of national and international initiatives that have been undertaken in South Africa, Africa and abroad with a view to developing collections of under-documented communities and associated initiatives. The examination of these particular examples was helpful in confirming and supplementing the observations made from the findings of the general literature reviewed in chapter three. These reviews were also critical to determining best practice and strategies geared to establishing the best possible framework in which to document the under-documented, and setting up a community archive or similar types of initiatives. In addition, they were crucial to the formulation of certain questions asked at the interviews and in some of the recommendations suggested for this study.



## CHAPTER FIVE: RESEARCH METHODOLOGY

### 5.1 Introduction

According to Bless and Higson-Smith (2000:63), research methodology is the specification of the most adequate operations to be performed in order to achieve the aim of the study. In addition, the research methodology adopted needs to support the attainment of the goals set out in the research objectives and facilitate answering the research questions for the investigation. In this study, chapter one described these, which briefly entail investigating possible strategies for safeguarding the records that are generated by South African Portuguese community-based organisations with the aim of suggesting an archival collecting framework for these community records. The study also seeks to propose an archival documentation model that will assist in the collection, management and preservation of these records as a means to preserve the social history, memories and experiences of the community. Chapters two and three, then, provided the context and theoretical perspective that informed this study. It follows that, in the research process, the next step is to carry out the empirical investigation. To do this, however, it is important to start by describing and justifying the methodology that was used to complete this study.

Therefore, the main aim of this chapter is to illustrate how the research for this study was carried out. Describing the procedures used by the researcher to perform the research is vital since it allows other researchers to replicate, test and assess the various methods used in the study, and it may also assist in appreciating variations in findings amongst studies that deal with a similar research problem (Garaba, 2010:147). Bless and Higson-Smith (2000:63) state that, in the research process, the research methodology is the strategy, the plan of action, or the 'blueprint' that provides the overall framework for both collecting data and allowing the researcher to draw conclusions. Thus, once the problem has been formulated, a methodology is developed to provide an outline for the steps to be undertaken to conduct the study.

However, before specifying the research methodology and design for a study, it is important, first, to clarify the general type of research that is being conducted and the

overall purpose of the research undertaking. Powell and Connaway (2004:2) identify two major types of research, namely basic research and applied research. Basic research is often also referred to as pure or theoretical research and its aim is mainly to create new knowledge. Applied research, on the other hand, is used to solve specific problems in real situations, or is used to investigate and find solutions to real-life problems. Research conducted in the social sciences, including those in the information and archival sciences – such as this study - is often applied research. The intent of applied research is to contribute knowledge that will assist people to understand the nature of a problem so that human beings can more effectively control their environment. Applied research looks for applications of basic disciplinary knowledge to real-world problems and experiences (Patton, 2002:118-119). Therefore, an in-depth applied research endeavour was an appropriate undertaking for this project since it allowed for an investigation into the issue of documenting under-documented groups, such as the Portuguese community in South Africa, and it provided possible solutions by suggesting a framework for safeguarding the records created by the organisations of this community as a means to preserve their social history and memories.

With regard to clarifying the overall purpose of a study, Matthews and Ross (2010:31) explain that most studies in the social sciences are done with a view to exploring, describing, explaining and evaluating human behaviour, situations, events and phenomena. These are the most common purposes of social science research. Babbie (1992:20) notes that, although useful to distinguish between these purposes of research, most studies will have elements of most, if not all, of them. However, Babbie (1992:20-21) goes on to explain that, although most studies have elements of most of these purposes, one or two purposes are normally more prevalent.

For this study, the prevailing purposes were exploratory and descriptive, because the research focuses on exploring and describing the phenomena. Firstly, the research required the researcher to explore the phenomenon of documenting under-documented communities (such as the Portuguese community) in the international and South African context, and thereafter it sought to describe the attitudes, opinions and practices of the creators and donors of potential archival materials regarding the management, disposal

and custody of their records (that is, the Portuguese community-based organisations). In addition, the study had a strong explanatory element since it sought to explain – based on the analysis of the findings of the exploratory and descriptive elements – how and why the strategies suggested for this study will aid in safeguarding these records and, as a consequence, may assist in preserving the social history and memories of the community.

To achieve the overall purposes described above, the research for this study included three distinct phases, namely a comprehensive literature review, an analysis of websites of initiatives to document the under-documented, and an empirical investigation.

## **5.2 Study of the literature**

It is important to note that there are different opinions as to when a literature review should be conducted in a study. A literature review can be done either ahead of or after data collection. Researchers who believe that the review should be done before data gathering, justify their viewpoint by arguing that prior literature review justifies the study, puts it into perspective and also familiarises the researcher with the phenomenon being studied. Other researchers feel that the literature review should be done following data collection to prevent the researcher from being swayed by earlier or previous ideas and thoughts on the subject matter (Polit and Hungler, 2004:56).

In this study the researcher followed the first approach. Therefore, the first phase of research for this study consisted of a literature review: gathering, assessing, synthesising and drawing upon an existing knowledge base. The aim was to increase background knowledge about the phenomenon under investigation, that is to orientate the researcher to the phenomenon of documenting the under-documented and community archiving. This information from the literature was also used to construct and adapt the conceptual phase, to refine the research objectives of the study, and to broaden the researcher's knowledge of the topic. The review of the literature is detailed in chapter three of this thesis.

### **5.3 Review of websites**

The second phase of the research consisted of an analysis of relevant websites of organisations involved in documenting the under-documented in South Africa and abroad. This was done to assess examples of national and international initiatives that have been undertaken in South Africa and abroad to develop collections of under-documented communities and community archives. The purpose of examining these was to determine best practice in documenting under-documented communities and related practices.

Lists of websites of organisations were identified by conducting searches on web search engines such as 'Google' and 'Yahoo'. This included searching for mainstream archives that may be involved in such initiatives, independent community-based programmes and collaborative projects. A variety of terms were used in the searches to locate as many possible examples of such initiatives. These included words and phrases such as 'under-documented', 'community archives', 'ethnic archives', 'immigrant archives', 'minority collections', amongst many other possible terms. Using a list of criteria derived from the study's research questions, the webpage content was analysed and subsequently arranged in a matrix format. The data from the comparison matrix was then analysed in order to identify common patterns, issues and themes, and these were then in turn categorised into different topics. From these common topics a checklist was devised. The checklist was crucial to formulating the questions for the interviews and was equally helpful in articulating some of the recommendations proposed by this study. Chapter 4 of this thesis contains a detailed outline of the review of these websites.

### **5.4 The empirical investigation**

The third phase of research for this study consisted of an empirical investigation. This phase includes the research methodology chosen for this study and the reasons for this choice. The research design, the research methods, the means of data collection and the research population are also explained in this chapter.

#### **5.4.1 Choice of methodology**

There are various research methodologies. When choosing a methodology, it is important to remember that each methodology is suited to a particular type of research and should therefore be chosen accordingly. Matthews and Ross (2010:113) also argue that the decision of which approach to take should be based on the research problem and the research questions of a study. According to Bailey (1982:33), research methodologies range from qualitative (report of observations in natural language) to quantitative (assigning numbers to observations).

To achieve its aim and to find answers to the research questions for this study, this research uses a qualitative research methodology. As indicated by Welman and Kruger (2001:7) the qualitative research methodology is dialectic, interpretive and inductive in nature and stems from an epistemological anti-positivist view, while the quantitative approach is associated with an epistemological positivist view, which is essentially confirmatory and deductive.

According to the positivist approach, the natural sciences can be applied to studying social phenomena. This develops from the position that there is a social reality to study that is independent of the researcher and the research subjects. On the other hand, the anti-positivist approach, also referred to as 'interpretivism', questions the usefulness of natural science research positions to study the social world. This position prioritises people's interpretations and understandings of social phenomena, "... where the nature of a social phenomenon is in the understanding and meaning ascribed to the social phenomenon by the social actors" (Matthews & Ross, 2010:28). In other words, "According to the anti-positivist, it is inappropriate to follow strict natural-scientific methods when collecting and interpreting data ... " relating to human behaviour, attitudes, opinions, and so on. "They [anti-positivists] hold that the natural-scientific method is designed for studying molecules, organisms and other things" and is therefore not always applicable to the phenomena being studied in the human behavioural and social sciences (Welman and Kruger, 2001:7). The different points of view held by the positivists and interpretivists are reflected in their definitions of their fields of study and their quantitative versus qualitative research approaches

respectively. “The positivists define their approach as the study of observable human behaviour, while according to some anti-positivists, it must deal with the experiencing of human behaviour [...]” (Welman and Kruger, 2001:7-8). That is, the latter are therefore concerned with understanding human behaviour, attitudes, and opinions from the perspectives of the people involved.

Matthews and Ross, (2010:28) concur with the observations made by Welman and Kruger (2001) and provide further details by explaining that the qualitative interpretivist or anti-positivist approach has specific features, such as that knowledge gathered includes people’s interpretations and understandings. The main focus is on how people interpret the social world and social phenomena, enabling different perspectives to be explored. The authors go on to explain that the “... interpretivist approach to social research typically means:

- qualitative (rich in detail and description) data is collected;
- uncovering and working with subjective meaning;
- interpretation of meaning within a specific context;
- empathetic understanding, ‘standing in the other’s shoes’”.

Wiersma (1995:211-212) clarifies the point that qualitative research is based on underlying assumptions. These include, inter alia, that the phenomena are viewed in their entirety or holistically; that the researcher does not force his or her assumptions, delimitations or definitions, or research designs upon emerging data; and that ‘reality’ exists as the subjects see it. The researcher is to record, fully, precisely and impartially, that reality is seen through the eyes of the respondents.

Powell and Connaway (2004:3) also affirm that the qualitative approach trends towards observing events from the perspectives of those who are involved and is aimed at understanding the attitude, behaviour and opinions of those individuals. Qualitative data are often considered to be richer in meaning, although the qualitative researcher has fewer control mechanisms. This means that the researcher will be more involved in observation and field research, or data collection in the form of words. These authors explain that qualitative research is primarily an inductive process of organising data into categories and identifying patterns or relationships amongst categories. This implies

that data and meaning surface organically from the research context. They go on to explain that qualitative research assists with gaining an understanding of underlying reasons and motivations, providing insights into the setting of a problem, generating ideas and uncovering prevalent trends in thought and opinion.

It becomes evident from the above explanation why the qualitative approach is the most appropriate for this study. Ely (1991:4) states that “qualitative researchers want those who are studied to speak for themselves, to provide their perspectives in words and other actions”. The need to explore the attitudes and opinions of those individuals involved in organisations that may contribute towards the development of a South African Portuguese archival heritage, and to arrive at some understanding of the factors determining those perspectives, led to the adoption of a qualitative approach. Furthermore, the appropriateness of a qualitative approach for this study was also directed by the fact that the research problem to be studied is a phenomenon that cannot be quantified since it is complex and social in nature (Powell and Connaway, 2004:59). Equally important in the choice of a qualitative approach, is that this research concentrates on studying fewer subjects and interpreting the results on the basis of observable patterns. Significance was therefore determined by the researcher’s observations, unlike in a quantitative study where statistical analysis would have been necessary.

It is also worth noting that, although the researcher trusts that certain findings of this study are applicable to other under-documented communities, it is important to highlight at this point the observation by Stevens, Flinn and Shepherd (2010) on qualitative research. These authors argue that often the critique of qualitative research derives from the false assumption that the purpose of research is to generate findings or theoretical models that are applicable to all different populations in every possible setting. “In reality, qualitative research is rarely so bold in its ambitions. It rather more often intends to generate findings that are not so much ‘generalisable’ as ‘transferrable’ as exploratory tools in new settings” (Stevens, Flinn and Shepherd, 2010:62).

They go on to say that the findings of qualitative research should rather not be used to make generalisations, but should instead be used to develop an in-depth understanding of the phenomenon as a sound base for recommendations, decision making, and further research.

Similarly, although Yin (2003:32) suggests that qualitative research can be generalised to a degree, he acknowledges that it makes no claim to statistical representativeness, but rather assumes that results contribute to a generalisation of the theory of the phenomenon, that is they are 'generalised' to a theory of the phenomenon being studied, a theory that may have much wider applicability than the particular study. Even though results from qualitative data can sometimes be extended to people, organisations and communities with characteristics similar to those in the study population, acquiring a rich and multifaceted understanding of a specific social context or phenomenon normally takes precedence over extracting data that can be generalised to other geographical areas or other populations.

Although this study follows a qualitative approach, in other words, observations that yield data that are not easily reduced to numbers, it does sometimes quantify some of the observations that are being 'recorded', when appropriate or relevant. Matthews and Ross, (2010:144) note that, while some researchers will primarily (or in some cases, totally) do research using one approach, increasingly social researchers are drawing on both qualitative and quantitative procedures to gather data, using a 'mixed-methods' approach. Although this study uses primarily qualitative procedures to gather data, in some instances observations that yielded quantitative data were also collected.

This included for the most part data that contributed to answering specific research questions of the study, but that called for a quantitative analysis. For example, when interviewing the Portuguese community organisations, although mostly qualitative data was sought, in certain circumstances, quantitative data assisted in shedding light on certain trends and patterns relating to certain questions. This was especially the case when seeking to determine the types of records prevalent in most of these organisations, and the disposition of these organisational records, that is the period



these records are kept for. The relevant data obtained from these particular questions were sorted into categories in order to identify observable patterns and to facilitate analysis. Thereafter, basic statistical analysis in the form of percentages to indicate frequency of responses to these questions was presented in order to facilitate data interpretation. It can therefore be implied that, up to a point, a mixed-method approach was used in this study although the qualitative approach is overwhelmingly predominant.

Burns and Grove (2003:488) explain that research methodology includes various elements such as the design, the sample, the methodological limitations, the data collection and the analysis techniques in a study. The following sections discuss these elements as they apply to this study.

#### **5.4.2 Research design for the empirical investigation**

Various qualitative research design strategies are possible. According to Matthews and Ross (2010:114) the most appropriate research design does not necessarily depend on whether you intend to use quantitative, qualitative or mixed methods of data collection and analysis. The decision to take a qualitative or quantitative approach should rather be based on the research problem, and the nature of the data one needs to collect and analyse in order to address the problem. All research designs can form the overall framework for either quantitative or qualitative data collection and analysis, or indeed a mixed-methods approach. However, some research designs are more suited to including either quantitative or qualitative methods.

Merriam (2002:6) notes that writers on qualitative studies have organised the diversity of qualitative research design strategies in various ways. Similarly, Welman and Kruger (2001:182) point out the numerous design strategies which are most commonly used within qualitative research and are often considered to be more appropriate for this paradigm. These include narrative analysis, basic interpretive, case study, ethnography, phenomenology, grounded theory, historical research and qualitative surveys. After studying these various research design strategies in depth, the researcher concluded that the 'basic interpretive qualitative research strategy' is the most applicable to this investigation.

#### 5.4.2.1 Justification for using the basic interpretive qualitative research strategy

Merriam (2002:6) states that a basic interpretive qualitative study – also referred to as generic interpretive – is probably the most common form of qualitative applied research found in the social sciences, and it exemplifies all the characteristics of qualitative research, namely:

- The researcher tries to understand the meaning that participants have constructed about a situation or phenomenon.
- The researcher is the main research tool, that is, the meaning is mediated through the researcher as instrument.
- The process is inductive.
- The results of the study are interpretative and descriptive.

The basic interpretive qualitative study stems from the broader epistemological view of anti-positivism or interpretivism – within which this study is situated (discussed in section 5.4.1) – and is used when the goal of the researcher is to understand how participants attribute meaning to a situation or a phenomenon. The researcher serves as the filter for the meaning, using inductive strategies with a descriptive outcome. Terre Blanche, Durrheim and Painter (1999:124) elaborate: “Interpretive research relies on first-hand accounts, tries to describe what it sees in rich detail and presents its findings in engaging and sometimes evocative language.”

In conducting a basic interpretive qualitative study, the researcher seeks to discover and understand the phenomenon, the process, the perspectives and views of the people involved, or a combination of these. Interpretive researchers attempt to derive their data through direct interaction with the phenomenon being studied. An important aspect is the search for meaning through direct interpretation of what is experienced and reported by the subjects. “These data are inductively analyzed to identify the recurring patterns or common themes that cut across the data. A rich descriptive account of the findings is presented and discussed, using references to the literature that framed the study in the first place” (Merriam, 2002:7).

In a subsequent publication, Merriam (2009) further argues that many researchers do a qualitative research study, without a phenomenological, grounded theory, or ethnographic approach. A pivotal characteristic of qualitative research is that individuals construct their reality in interaction with their social worlds, such as the environments they work in, and so on. 'Constructionism' thus underlies so-called basic qualitative studies. Here the researcher is interested in understanding the meaning a phenomenon has for those participating in the study. Meaning however "is not discovered but constructed. Meaning does not inhere in the object, merely waiting for someone to come upon it. Meanings are constructed by human beings as they engage with the world they are interpreting" (Merriam, 2009:23). Therefore qualitative researchers using a basic qualitative study strategy would be interested in how participants understand and interpret their experiences, how they construct their worlds and what meaning they ascribe or attribute to their experiences. The overall purpose is to understand how people make sense of their experiences.

Although this may characterise all qualitative research, other types of qualitative studies are seeking alternative dimensions. For instance, phenomenological studies seek to understand the essence and the fundamental structure of the phenomenon, while grounded theory studies seek to develop a substantive new theory about the phenomenon of interest, and so on. Basic interpretive qualitative studies, on the other hand, do not require these additional dimensions since they inherently demand generic qualitative strategies and techniques exclusively, as opposed to the added dimensions associated with the other qualitative research design strategies mentioned above, such as those of phenomenology or grounded theory.

Basic interpretive qualitative research studies can be found throughout the disciplines and in the applied fields of practice. Data are collected through interviews, observations or document analysis. The analysis of data involves identifying and interpreting themes that characterise the data. The overall interpretation will be the researcher's understanding of the participants' understanding of the phenomenon of interest (Merriam, 2009:23-24).

In summary, based on the above explanation of the basic interpretive qualitative strategy acquired from the literature reviewed, this approach was seen as the most appropriate because the empirical investigation of this study was primarily interested in how meaning is constructed by the research participants, how people make sense of their experiences and their worlds or, more precisely, their perceptions of the records created by their organisations and their attitudes towards safeguarding these. Secondly, the researcher was the main research instrument, which implied that the researcher acted as a go-between for the meaning of the phenomenon. Thirdly, the researcher applied inductive processes in the analysis of the data to uncover and interpret these meanings and finally, based on these, a rich and full descriptive report of the findings – using references to the literature that supported the study – was the outcome of the study.

The design of a qualitative study rooted in a basic interpretive strategy includes selecting a sample, data collection, analysing the data, and writing up the findings.

#### **5.4.3 Population and sampling**

Even if it were possible, it is not necessary to collect data from everyone in an organisation, community and so on, in order to get valid results or findings. In research, only a sample, or a subset, of a population is selected for a given study. The most common sampling methods used in qualitative studies include purposive sampling, quota sampling, and snowball sampling. In this study a purposive sampling method was used when selecting participating organisations, combined with reliance on available subjects.

Purposive sampling is a type of non-probability sampling in which the researcher consciously selects specific subjects or participants for inclusion in a study in order to ensure that these will have certain characteristics relevant to the study. This sampling technique normally involves a non-representative subset of some larger population, and is constructed to serve a very specific need or purpose. A researcher often has a specific group in mind, such as high level executives of an organisation. For this study, a purposive sampling technique was used to ensure that the main population selected

for this study, namely the community-based organisations in Gauteng, had certain characteristics relevant to the study that would assist in acquiring the data needed to answer the research questions: it sought to find the best fit for the study (Babbie, 2004:183). Furthermore, purposive samples for qualitative investigations tend to be small, and an appropriate sample size is one that adequately answers the research questions and one that assists the researcher to achieve informational redundancy or saturation – the point at which no new information or themes are emerging from the data. A small sample also enables the researcher to study the phenomena in depth (Marshall, 1996:523).

In order to identify organisations representing the South African Portuguese community in the Gauteng area, several resources needed to be consulted as a start. A list of Portuguese community organisations was found through on-line directories and resources, and community newspapers, namely:

- *Portal das Comunidades Portugueses: Africa do Sul* ([www.Consuladovirtual.pt](http://www.Consuladovirtual.pt)) – The Portal of Portuguese Communities: South Africa
- *Forum Portugues* – Portuguese Forum ([www.portugueseforum.org.za](http://www.portugueseforum.org.za)),
- Community newspapers: *O Seculo* and *Voz Portuguesa*.

These resources combined listed approximately 60 Portuguese community organisations in South Africa, with about 40 of these being in the Gauteng area. However, as mentioned in chapter two, section 2.3, a number of these listed organisations have ceased to exist. The closure of these community organisations, and the implications thereof, are further analysed and interpreted in chapters six and seven.

To find the best fit for the study, and to ensure that the organisations chosen would yield the most data required to answer the research questions, the following main criteria were considered in the purposive sampling of these organisations:

**Geographic location:** the province of Gauteng was singled out for consideration of Portuguese organisations in this study. Except for logistical reasons, the main incentive for this decisive factor was the prevalence of these organisations in this province. Approximately 70 per cent of these organisations are in Gauteng. In addition, the

number of organisations sampled in Gauteng would generate enough data to address the research questions of the study. Furthermore, Portuguese organisations in this province are relatively larger and more established, with larger community membership numbers. This relates to the next two criteria for the study.

**Years of establishment:** this criterion was also essential, as organisations that have existed for longer and are well established, were more likely to have created and received a substantial number of records over a longer period of time and subsequently therefore hold a larger volume of potential archival materials. Therefore, this study selected the Portuguese community-based organisations in Gauteng that were the most long-standing.

**Involvement with community:** as an additional criterion, the researcher also chose those organisations that were more visible and actively involved in the community. By scanning the local community media, such as the community newspapers, the researcher identified the organisations that were more visible and those that indicated consistent involvement in the community, such as hosting, contributing and participating in community events and activities. These organisations were given preference because they were more likely to hold records that represented these community activities and events and would again consequently hold more potential archival materials reflecting these community experiences.

Finally, of those organisations that met the above criteria, reliance on availability also played an important role. The relevant organisations were contacted to determine whether they were willing and able to participate in the study. Those organisations that indicated their willingness to participate were then included in the sample.

In view of the above, nineteen community-based organisations were selected for this study. These organisations are listed in chapter two, section 2.3.1. Each of the organisations selected for the study is well established, and has a long enough standing to have made a significant impact on the community. As the long-standing, well-recognised organisations within the community with relatively more established structures, staff and facilities, these have also created a significant number of records

and therefore may hold a substantial amount of potential archival materials. These organisations were given an identity code number to guarantee anonymity, as was assured to interviewees prior to the interviews, during the consent stage. Identity codes were allocated as follows Portuguese Community-based Organisation = **PCO**:

PCO-1; PCO-2; PCO-3; up to PCO-19

Besides selecting the organisations for this study, it was also necessary to identify the individual within each organisation with whom the researcher was to hold the actual interviews. The selection of data sources within each community-based organisation was by purposive sampling as well, since the researcher selected information-rich individuals – those who were more knowledgeable on the topic being investigated – who were most likely to provide the relevant data required. Matthews and Ross (2010) point out that, in purposive sampling, participants are chosen because of their experience or opinions on the research topic (Matthews and Ross, 2010:225):

“People are chosen ‘with purpose’ to enable the researcher to explore the research questions... . The participants are selected on the basis of characteristics or experiences that are directly related to the researcher’s area of interest and her research questions, and will allow the researcher to study the research topic in depth”.

In this regard, the person who occupied the overall management position of each organisation, that is, the director or the chairperson of each organisation was considered the most suitable respondent, in view of their direct relationship with the overall decision-making processes of these organisations, including decisions on the eventual disposal and fate of the records created by them. Furthermore, the director/chairperson of each organisation was in authoritative position which allowed him/her to provide reliable views on issues such as whether they would welcome assistance from mainstream archives in records management matters, whether their organisations would rather establish their own archival programme or be more willing to transfer their records to a mainstream repository for safekeeping, and so on. These individuals were also selected because community-based organisations are relatively small, with high staff turnover – the use of volunteers for many tasks being prevalent. As

the main director/chairperson of these organisations, these individuals tended to be the most stable and enduring employees, at times even being the only person permanently committed to these establishments.

In short, the main population for this study was the nineteen selected South African Portuguese social and cultural community-based organisations in Gauteng that create and keep records representing their activities and, as such, are the major potential creators of archival materials reflecting the experiences of the broader Portuguese community in South Africa, and the Gauteng Province specifically. Each organisation selected was identified as a separate unit of analysis. For the interviews, the director/chairperson of each organisation was selected as the respondent.

#### **5.4.4 Choosing a data-collection method**

As mentioned in the previous section, qualitative studies provide an in-depth exploration and description of a complex phenomenon. There are various interpretive qualitative instruments for gathering in-depth qualitative evidence. These may include documents, focus groups, narratives, participant or non-participant observation, and semi-structured or unstructured interviews (Rowley, 2002:17). Taylor and Bogdan (1998:151) also affirm that collecting data for qualitative studies can be performed in a variety of ways, including by observation or by studying documents, but another method is the semi-structured interview. A major challenge to studying the social aspects in qualitative research is the variance in experiences of the participants. A data-collection approach which has helped to integrate this complexity has been the use of semi-structured interviews, which bring together the positive features of both structured and unstructured interviews. In such an interview, the questions act as a guide for the researcher, while participants are also asked to talk freely and openly about whatever they view as important with regard to the research topic, and they are encouraged to elaborate on these views.

Therefore, for this study, semi-structured interviews were deemed to be an appropriate means of gathering the necessary complex qualitative information to answer the research questions, and were thus the main means used to gather data. These



qualitative semi-structured interviews are most useful for research involving people's opinions and practices (Babbie, 2004:300). Matthews and Ross (2010:219) agree and expand, explaining that interviews – especially semi-structured interviews – are a data-collection method that facilitates direct communication between two people (either face to face or by telephone or even via the Internet), and “enables the interviewer to elicit information, feelings and opinions from the interviewee using questions and interactive dialogue.” The authors go on to say that, although most quantitative researchers prefer a more questionnaire-based structured interview, less structured interviews are increasingly being used by social researchers. Semi-structured interviews “are most typically associated with the collection of qualitative social data and when the researcher is interested in people's experiences, behaviour and understandings and how and why they experience and understand the social world in this way” (Matthews and Ross, 2010:219). The researcher is interested in both the information the participants can give about the research topic and their experiences and attitudes about it.

From these descriptions of the application of semi-structured interviews, the choice of this research instrument became evident for this study. Semi-structured interviews were held with selected individuals representing the main population of this study, namely the South African Portuguese community-based organisations since they are the potential creators, curators and donors of archival materials. The interviews sought to solicit not only information on the topic, but equally sought the experiences, attitudes and opinions of these individuals on the records created by their organisations, and their perceptions of the benefits of safeguarding such materials, as well as the challenges and obstacles that may be encountered. They were also conducted to understand the practices, attitudes, and opinions of these individuals to determine what is done, or rather what can be done to preserve and make these records part of the archival heritage of South Africa, and accessible to the Portuguese community and to South Africans in general. What is more, the interviews sought to gather information about the organisations, information about the records created by these, and information about what has happened and/or continues happening to these records – in other words, the final disposition of these records.

Rowley (2002:16) also explains that semi-structured interviews are useful in providing answers to 'How?' and 'Why?' questions, "and in this role can be used for exploratory research ...". Matthews and Ross (2010:222-223) affirm this and further note that semi-structured interviews are in depth and involve narrative data collection and, as such, can be used very effectively for exploratory and explanatory research. As was noted in section 5.1 of this chapter, this study has strong exploratory and explanatory purposes. With regard to its explanatory purpose, the interviews sought to examine primarily the 'How?' and 'Why?' questions: how the organisations regard the question of disposal and custody of their records, and why they have the opinions they have. Both types of questions can be dealt with effectively during such interviews. In addition, since no such study has been conducted before in South Africa, no proposals about which aspects are the most important in determining the attitudes and opinions of the respondents have been established. Therefore, the semi-structured interview method is well suited to the exploratory nature of this research study.

Matthews and Ross (2010:225) also point out that semi-structured interviews are well suited to studies which adopt a purposive sampling approach (as this study did – see section 5.4.3). Since participants were chosen on the basis or with a purpose of tapping into their experience or opinions they had that were directly related to the researcher's topic and research questions, this allowed the researcher to study the research topic in depth.

#### **5.4.5 The course of action for the semi-structured interviews**

The course of action for the interview part of this study included the following phases: designing an interview guide; conducting the interviews; and eventual analysis of the raw data (see section 5.4.9).

##### **5.4.5.1 Developing the interview guide**

The semi-structured interviews were based upon an interview guide that was developed by the researcher. According to Matthews and Ross (2010:227), an interview guide is typical of semi-structured interviews. Unlike structured questionnaire-type interviews, an interview guide is not simply a list of questions to be worked through, but "rather, the

guide acts as an agenda for the interview with additional notes and features to aid the researcher”: it includes the ‘guiding questions’.

The interview questions were developed with a view to addressing the opinions, attitudes and experiences of the respondents about the records created within their organisations and what can be done to safeguard these. For that reason, the guide was designed to try to ensure that the participants felt comfortable and would – as far as possible – contribute openly and honestly to the questions being asked. The guiding questions were therefore designed to be open and flexible and to allow for follow-up questions. Furthermore, the interview guide was designed with the following in mind:

- Points that needed to be covered were highlighted.
- Ways of approaching each topic were noted.
- Probes and the way each question should be asked were noted.
- Notes were made to ensure that all topics were included.
- Notes were made to give the order of topics.
- An introduction and a conclusion to the interview was included

(Matthews and Ross, 2010:227).

It must also be noted that, in addition to the mostly open-ended questions, the interviews did include closed-ended questions, especially in the beginning of the interview. These predetermined closed-ended questions were mostly biographical, for instance, the position of the respondent in the organisation, years of involvement with the organisation, and so on.

As data gathering using semi-structured interviews can be time-consuming, it was important to ensure that the interview guide was going to be effective once the interviews commenced, in order to avoid irrelevant or unnecessary data collection. Therefore, after the guide had been designed, it was pretested. Flaws and ambiguities that were detected in the questions being asked during the pretesting exercise were refined, improved upon and revised (see section 5.4.8).

#### 5.4.5.2 Conducting the interviews

The interview guide was administered by the researcher to the director/chairperson of each selected community-based organisations, more specifically the South African Portuguese social and cultural organisations in Gauteng that collect records of their activities and therefore, may hold potential archival materials. The interviewees were contacted and a suitable date was arranged for the interview. According to Matthews and Ross (2010:231): “The semi-structured interview is like a conversation where one person (the researcher) focuses on the other (the participant) and does all they can to enable them to talk about events, feelings and opinions that relate to the research topic.” The interviews therefore took place – with no other distractions – at the offices of the respondents. The participants were informed that the study is voluntary, and withdrawal from the study can be done at any time. The respondents were given a detailed explanation of what the research was about. They were also informed that ample opportunity would be given to them to ask additional questions related to the construct and procedures of the research study.

The respondents were then requested to sign a consent form before the interview commenced. After each participant’s informed consent was obtained, the interview started. The data was collected using the interview guide and was recorded, using a digital recorder. The respondents were interviewed for a limited period of time, usually between an hour and an hour and a half. The interviews included closed-ended questions for certain initial questions and then mostly open-ended questions that took on a conversational style. All the participants received matching open-ended questions, allowing them to expand their responses as appropriate. Neutral probes were used to ensure that the researcher did not lead the participants to make ‘acceptable’ comments, such as, “Can you tell me more about that?” and “What do you mean?”. The researcher encouraged the participants by making them aware that he was listening to their responses –including verbal and non-verbal cues. Since the interview was directed by guiding questions, and less so by a set of predetermined questions, the researcher was flexible and adaptable to each participant, rather than expecting them to conform to the agenda. The researcher also consulted the interview guide frequently during the

interviews to ensure that all the research questions were being covered (Matthews and Ross, 2010:231). The major issues covered in the interviews included:

- data about each organisation, its purpose and its activities;
- data about the types of records in the organisation;
- current recordkeeping practices (storage facilities, filing, retrieval, access, staffing, and so on);
- current records disposition practices;
- current archival practices (such as keeping permanent records and long-term preservation);
- intentions of these organisations regarding the future of their records;
- opinions about possible disposal decisions;
- preferences regarding custody.

The process of data collection spread over a period of approximately four months during 2013. After the interviews were completed, the raw data was transcribed for data analysis (see section 5.4.9). The interview guide questions were only formulated in English and the interviews were conducted in English because all the respondents were fluent in both English and Portuguese. At times respondents did switch over to Portuguese during the interviews. As the researcher is fluent in both English and Portuguese, these parts of the interviews were translated by him into English during the transcription of the interview scripts.

To sum up, there were various advantages to the semi-structured interview for this study. The project was limited to a small number of organisations and so did not warrant a more structured survey. Also, these interviews were well suited to drawing out the experiences and opinions of the respondents about the management and disposal of their records, and how these views are shaped by the organisational culture. Furthermore, the interview allowed for an open-ended questions approach, which assisted the interviewer to solicit the viewpoints of the respondents on the relevant issues, and allowed him to try to find out as many reasons as possible, influencing their views. In-depth narrative texts generated from the open-ended questions also provided

useful insights into the phenomenon being investigated, and these would otherwise have been overlooked by more structured designs.

Details of the guiding questions presented in the interview guide are in Appendix C.

#### **5.4.6 Unstructured interviews with the National Archivist of South Africa and three South African universities in Gauteng**

In addition to the semi-structured interviews held with the Portuguese community-based organisations, a face-to-face unstructured interview was conducted with the National Archivist of South Africa and unstructured telephone interviews were also held with four South African universities in Gauteng. Berg (1998:61) explains that unstructured interviews are often used during the course of research to gain additional information on the issue at hand.

Since the National Archives and Records Service of South Africa is the main role player in the South African archival heritage field, and due to the fact that communities often consider transferring their records to a mainstream institution such as a university, the researcher deemed it necessary to obtain additional views on the research topic from these institutions. The four biggest universities in the Gauteng province were selected as they have well established archives and/or special collections departments. The archives or special collections departments of the South African universities interviewed were those at the University of Johannesburg (UJ), the University of Pretoria (UP), the University of South Africa (UNISA), and the University of the Witwatersrand (WITS).

The director of the National Archives and the director of each of the archives or special collections departments of these selected South African universities were asked to give their opinions and perspectives on:

- whether they were willing or able to accommodate the records of these community-based organisations;
- if they were prepared to offer archives and records management assistance to these organisations; and
- whether they would consider any form of collecting partnerships and collaboration with these creators of community archival materials.

#### **5.4.7 Reliability and validity**

According to Babbie (1992:129), in short, "... reliability is a matter of whether a particular technique, applied repeatedly to the same object, would yield the same result each time ...", or put even more simply, the question to ask when conducting research is: "Can my results be replicated by other researchers using the same methods?" (Matthews and Ross, 2010:11). As regards validity, Babbie (1992:132) explains that, in conventional usage, "... the term validity refers to the extent to which an empirical measure adequately reflects the real meaning of the concept under consideration", or, as Matthews and Ross (2010:12) put it, this concept is really asking the question, "Am I researching the thing that I think I am?" and "Are the data that I am gathering relevant to my research question (will they help me to answer my research question ...)?".

However, Golafshani (2003:597) cautions that it is important to recognise the distinct understanding and application of reliability and validity in the qualitative paradigm. He goes on to explain that, although the use of reliability and validity are more common in quantitative research, they are now regularly being reconsidered in anti-positivist, interpretive or qualitative approaches as well. Since reliability and validity are rooted in positivist and quantitative perspectives, they do, however, need to be redefined in order to reflect their application in the qualitative context. Golafshani (2003:599), affirms what the above authors say about the quantitative paradigm of these concepts by explaining that reliability entails whether the results of a study are replicable, while validity signifies whether the means of measurement are accurate and whether they are actually measuring what they are intended to measure.

In quantitative research researchers tend to expect to get exactly the same results for the same experiment or study. On the other hand, in qualitative research such as in many social sciences studies, researchers mostly deal with people. Every person is an individual and is different, with different behaviours, opinions and experiences – the aim in qualitative research therefore being to accurately describe the experiences of these human phenomena under study rather than attempting to generalise. For that reason, qualitative researchers need new definitions of reliability and validity. Golafshani (2003:602) therefore argues that there is now a growing consensus amongst

researchers about the need for some kind of qualifying check in qualitative studies. Golafshani (2003:604) thus suggests that to reduce partiality and bias – and to strengthen this qualifying check – reliability and validity are typically conceptualised as trustworthiness, rigour and quality – in the qualitative research paradigms. The author goes on to say that qualitative researchers should also consider the use of triangulation (see section 5.4.7.1 of this chapter) “to eliminate bias and increase the researcher’s truthfulness of a proposition about some social phenomenon...”.

Similarly, Altheide and Johnson (1994:486-487) affirm that it is important to establish the reliability and validity of any study, although the means to establish these will differ between a qualitative and a quantitative paradigm. With regard to reliability, the authors define it as the degree to which an instrument accurately and consistently measures whatever it is supposed to measure. If a question gets a different answer from a person each time it is asked, then it is said to lack reliability in terms of being a research instrument. In other words, reliability is an essential quality of consistency. To lessen the degree of error, it is thus necessary to design interview schedules, questionnaires and other instruments that capture the empirical data accurately. In brief, a reliable data-collection tool is one that is reasonably free of error, bias and inaccuracy.

Turning now to validity, Altheide and Johnson (1994:486-487) distinguish between external and internal validity. Regarding external validity – which indicates ‘credibility’ in the qualitative paradigm (Kalusopa, 2011:145) – the authors note that most qualitative researchers do not have the extent of concern about generalisation that quantitative researchers have. Therefore, qualitative external validity concerns itself more with comparability (the capacity of other researchers to extend the knowledge of the study based on the richness and profundity of the description) and translatability (the degree to which other researchers understand and interpret the results, given the theory and procedures involved in the research).

However, as it is virtually impossible to control variables in ‘natural’ settings (which is the typical setting of the qualitative research paradigm), internal validity – the design integrity of the study that in the qualitative paradigm also signifies ‘transferability’



(Kalusopa, 2011:145) – is even more crucial. Thus, it is vital that full descriptions of the research context or site, the respondents, the data-collection instruments and procedures, be presented. Altheide and Johnson (1994:486-487) also recognise the unique understanding necessary for validity in the qualitative paradigm and argue that there are two approaches to making a case for the internal validity of a study: ‘interpretive validity’ and, similar to Golafshani’s (2003) views, ‘trustworthiness’.

Interpretive validity is the degree to which data interpretation and conclusions are deemed to be accurate so that they may be considered representative of the respondents’ or the phenomenon’s ‘reality’. In accordance with Altheide and Johnson (1994:486-487), interpretive validity presents four facets:

**Usefulness:** Usefulness is determined by the extent to which the study informs and inspires further research.

**Research positioning:** Qualitative researchers are often seen as the actual data-collection instruments, given the pivotal role of the researcher in the qualitative paradigm. Therefore, researchers need to document their direct and indirect effects on the research context, on the respondents, and so on.

**Contextual completeness:** This indicates the completeness and wealth of the description of the report. This is especially important because the report on the study is normally in narrative form.

**Reporting style:** Refers to the extent to which the description by the author of the study’s research report is perceived as authentic and genuine.

With regard to trustworthiness, Altheide and Johnson (1994:486-487) clarify the point that a qualitative study’s ‘trustworthiness’ may be increased when the participants’ perceptions are verified in a systematic way (for example, the research participants could review results for representativeness and accuracy), and the logical relationship between research questions, research procedures, data, and findings is such that a sensible person would arrive at similar or comparable conclusions.

Guba (1981), cited in Krefting (1991:215-216), developed a model of trustworthiness worth noting. Briefly, the model presents four facets of trustworthiness. These are:

applicability (the extent to which results are transferable and can be applied to other communities and populations or to other situations and contexts); truth value (demonstrates that participants recognise the reported research results as their own experiences, that is, as credible); neutrality or conformability (the extent to which the conclusions and findings are exclusively a result of the respondents perspectives and the circumstances of the research, and not other preconceived notions and bias; and finally, consistency (in the qualitative paradigm consistency is defined in terms of dependability, that is, it emphasises the uniqueness of the human experience and therefore seeks variation as well, and not only indistinguishable replication).

To further enhance the reliability and validity of a study, multiple collection methods are also often recommended by researchers. This is referred to as triangulation.

#### 5.4.7.1 Triangulation

While a mixed-methods approach often refers to gathering both quantitative and qualitative data (as noted when discussing the choice of methodology for this study in section 5.4.1 of this chapter) this is not necessarily always the case. According to Matthews and Ross (2010:145) a researcher may choose two different ways of gathering quantitative data by, for instance, using a questionnaire survey and working with secondary data, or a researcher may decide to gather qualitative data using both semi-structured interviews and participant observation. This process is called triangulation, and it is often used to assist in checking the validity of the data. Collection of data through the use of different data-collection devices and sources is often recommended by researchers.

Rowley (2002:23) supports the above by explaining that triangulation uses evidence from different sources to corroborate the same findings of the research effort. She goes on to explain that one way to achieve reliability and validity in qualitative research is through methodological triangulation. This involves checking for consistency of findings generated by different data-collection methods.

According to Jack and Raturi (2006:346), there are some beneficial reasons as to why triangulation is often used, which are also applicable to this study, these include:

- **Contingency:** this is the question of why a particular method or strategy was selected. For instance, this could be based on the need to shed light on a phenomenon which another method may fail to explain. For example, though data has been collected through interviews, website content analysis may clarify particular aspects of the phenomenon under question.
- **Completeness:** there is an awareness amongst researchers that a selected sole research device or method may have innate weak points and faults and that, as a consequence, the selection of the particular method will limit the conclusions that may be drawn. It is thus crucial to obtain supporting data and evidence, using quantitative or qualitative methods to augment and give more detail that may be lost when using only one means.
- **Confirmation:** verification of results or findings advances researchers' capability to draw conclusions from their investigation. By bringing together several data sources, different theories, and varying methods, researchers aspire to overcome the inherent partiality that may surface from a single source, or from applying only one theory or one method on its own.

#### 5.4.7.2 Achieving reliability and validity for this study

Reliability and validity, especially as they are interpreted and applied in the qualitative paradigm, are central to a research study such as this one. Therefore, in the context of this study, the researcher sought to enhance reliability and validity – and the qualitative concepts associated with these, such as trustworthiness – by the following means:

- To decrease the extent of error in the accuracy and consistency of the main research instrument used for this study, that is the reliability of the interviews, it was necessary to design an interview guide that captured the data accurately. The wording of instructions was explicit to remove any element of doubt, and the pretesting exercise (discussed in section 5.4.8) sought to improve the reliability of the interview guide as a research instrument for this investigation. During the pretesting exercise the same guiding questions were posed to respondents to ascertain whether the questions yielded the same type or relevant responses.

Questions that resulted in irrelevant answers were checked and refined to ensure that they had been clearly formulated.

- To enhance validity in general, the researcher made sure that the data being gathered were relevant to the research problem. Therefore, questions to be asked at the interviews were cross-checked with the research questions presented in chapter one, to ensure that they would confidently assist in answering these.
- As regards external validity, since it was a qualitative study, the researcher did not seek generalisation in the sense of generalising the findings to all other under-documented populations, but rather sought to generate findings that were transferrable and comparable, based on the richness and depth of description. Therefore, the findings presented an in-depth understanding of the phenomenon as a sound base for recommendations, decision making, and further research, that is they were 'generalised' to the theory of the phenomenon being studied.
- To enhance internal or content validity, the researcher provided full descriptions of the research context, the population, the collection tools and procedures. Furthermore, since the reporting of the findings was predominantly in narrative form, the researcher made sure that the descriptions in the research report were complete and rich in detail.
- Individuals who had the potential to provide, at first hand, information that was rich, adequate and valid, were selected and interviewed for the study. In addition, while some questions required brief answers from these respondents, it was also found desirable to let information on certain aspects emerge spontaneously, based on the theoretical framework adopted for this study. This allowed for vigour in the interviews.
- Since a study of this nature could involve sensitive information regarding their organisations, respondents were assured that the information they gave would

be treated with confidentiality. This was done to encourage freedom of expression and honest responses from the respondents;

- With regard to trustworthiness, the participants' involvement was verified in a systematic manner. At the interviews, notes were taken accurately and without interruptions, while the respondents spoke. The research participants were then invited to review the findings for accuracy. The contents of the notes were shared and cross-checked with the respondents for clarification and correctness. The researcher also sought as far as possible to achieve neutral and impartial findings and conclusions by trying to ensure that the findings of the interviews were a result of the respondents' perspectives and not the researcher's preconceived notions. This process also aimed to demonstrate that participants recognise the reported research findings as reflecting their own experiences, that is – that they are credible – that they have truth value.

Furthermore, reliability, validity and trustworthiness were also increased when the data analysis and the conclusions of this study were triangulated. In this study, the process of triangulation was utilised to corroborate and verify the findings of the semi-structured interviews with the Portuguese community organisations and the unstructured interviews with the National Archivist and the three South African universities, with the findings generated from the literature review and the webpage content analysis of national and international initiatives to develop collections of under-documented communities. The use of triangulation thus allowed one research method to complement and supplement the findings of the other research methods, thereby enhancing the reliability and validity of the research results reported and discussed in this study.

#### **5.4.8 Pretesting**

Pretesting is one of the main ways to assess the reliability and validity of research instruments. After the researcher has constructed a research instrument which is about to be used in the field, a pretest of the tool should be carried out. In designing an instrument, such as an interview guide, the possibility of unforeseen problems and

errors is a reality. The goal of such pretesting is therefore to expose such unanticipated flaws and to determine if the data-collection instrument performs effectively in a real-life situation.

Powell and Connaway (2004:147) affirm the above and explain that “it is highly recommended that interview schedules be pretested.” They go on to say that there are many reasons to carry out the pretesting exercise. Doing so offers the researcher an opportunity to test the interview protocol for errors, monitor the interview duration, verify the clarity of the interview questions, and make any adjustments found to be necessary before initiating the main study. Similarly, according to Fowler (2002:111-113) a pretest is considered a rehearsal to determine whether the research instrument is clearly worded and free from any biases, and whether it solicits the type of information envisioned, in fact, anything that could hamper the tool's ability to collect data in an efficient manner.

According to Baker (1994:182-183), one of the advantages of the pretesting exercise is that it may give the researcher early warning about where the main study could fail, where research protocols are not being followed, and whether the intended methods or instruments are inappropriate or overly complex. The author expands on this by noting that, besides assisting with refining the research instrument, the pretesting may also help to point out other unexpected challenges regarding, for instance, the research questions and the design strategy chosen, and may even help to assess the overall feasibility of the main study.

Certain procedures also need to be considered when pretesting. The above-mentioned authors (Baker, 1994:182-183; Fowler, 2002:111-113; Powell & Connaway, 2004:147) indicate that pretesting needs to be conducted systematically, with potential respondents and using the identical method of administration, which implies that the instrument being pretested should be exactly the same as it is intended to be when administered in the main study. These authors also recommend that, during the pretesting exercise, the researcher should pay attention to the following: request feedback from the respondents in order to identify ambiguous, uncertain and difficult

questions; abandon or revise all redundant, ambiguous or complicated questions; determine if each question gives an adequate scope of responses; establish whether the responses are being interpreted in terms of the information that is being sought; check that all questions are being answered; refine or reword any questions that have not been answered as predicted; note down the time taken to complete the interview and determine whether it is practical or realistic; and revise the research instrument and, if necessary, pretest it again (Baker, 1994:182-183; Fowler, 2002:111-113; and Powell and Connaway, 2004:147).

It is also important to note that pretesting involves checking the research instrument in conditions as similar as possible to the research, but with no view to reporting these findings. Therefore, respondents from a pretesting exercise are normally individuals who are not participating in the main study and are consequently excluded from the reporting of the results and conclusions.

In view of the points mentioned above, in September 2012, the researcher pretested the main research tool, namely the interview guide, on two Portuguese community-based organisations that were not part of the main study population. These two organisations were chosen because they met the criteria for the organisations in the main study, but were excluded from the latter because of their geographical location, that is they were not in Gauteng. The two selected organisations were both from the Western Cape Province: the Portuguese Association and the Portuguese Welfare Society of Cape Town. These organisations were contacted and accepted the invitation to participate in this phase of the research. After the pretesting exercise, based on a pretest checklist, the researcher found that it was necessary to fine-tune some of the questions – hence provision made to improve the interview guide. This included modifying the vocabulary and wording to make it more appropriate to the targeted population, discarding redundant questions, rewording ambiguous questions, and removing certain unnecessary questions that were making the interviews too lengthy and were consequently annoying or frustrating the respondents.

Finally, it is also useful to pretest a research instrument with professionals in the specialisation area of the study (Baker, 1994:182-183). These professionals may be able to pick up potential difficulties which might not be exposed during a pretest with respondents. Therefore, for this study the researcher pretested the interview instrument on two colleagues from academia in the archives and records management fields so as to test whether the questions will elicit responses which would adequately reflect the records practices of these community-based organisations.

#### **5.4.9 Data analysis**

Data analysis follows data collection in the research process. Matthews and Ross (2010:317) explain that, although collecting data is important, “One cannot, sensibly, simply collect data and present it as research... . Research data is not ‘self-explanatory’ and does not speak for itself: analysis is required.” Analysis involves a series of different analytical techniques or methods that are applied to the collected data in order to describe, interpret, explain and evaluate it. The authors go on to say that all analysis methods share two important features:

1. Systematic: each piece of data (whatever that may be: case study, person, event, etc.) in the project is treated in the same way.
2. Comprehensive: all the data collected for the project are included in the analysis.

Matthew and Ross (2010:317) also emphasise an additional characteristic shared by data analysis methods, that the data should be interpreted with a view to answering the research question of the study.

Although all data analysis methods share certain features, Wiersma (1995:217) indicates that analysis will differ according to the nature of the data gathered. In the quantitative paradigm, the analysis involves turning the data one has into numbers for statistical interpretation. On the other hand, analysis in qualitative research often involves developing specific categories from the written data or observations in preparation for qualitative interpretation. Qualitative data analysis is therefore often iterative – that is, it seeks observable repetitive patterns in the data collected. Within this paradigm data must be organised (data classification) and reduced (data reduction).



Data are organised by coding. Descriptions of behaviour, opinions, feelings, attitudes and so on are identified and coded.

The author goes on to explain that codes do not need to be mutually exclusive and most often are not. The specific coding system used by a researcher usually materialises as the iterative data analysis and interpretative process develops. “The coding system employed by the qualitative researcher should therefore be comprehensive and adapted to the researcher’s needs; it should be accurate in recording what is being observed, and useful in describing and allowing understanding of the phenomenon under study” (Wiersma 1995:217-218).

With regard to qualitative interviews as used for this study, the data gathered from these interviews are in the words of the participants and as such are raw data. These data need to be analysed in relation to the research questions. According to Matthews and Ross (2010:232) for interviews, discourse analysis and content analysis, among others, may be used to interpret the data.

The present study used content data analysis but, before actual analysis began, the researcher prepared the data for analysis. The raw data from the recorded interviews were transcribed, word for word, by the researcher. While reading through the verbatim transcribed data for each interview, the researcher checked the data to ensure that it was complete and accurately recorded. Other preliminary measures carried out by the researcher to prepare the data for interpretation included labelling the data, creating an index and some exploratory coding by identifying themes and giving each theme a name. Except for data analysis, the participants’ responses were also coded to ensure confidentiality. In addition, the researcher prepared charts to compare what one participant said about each question with what others said.

After the preparatory steps, the researcher began the process of content analysis of the data. Content analysis – described as an appropriate method of analysing qualitative data from the transcripts of interviews (Saunders and Pinhey, 1983:185; Matthews and Ross, 2010:232) – is often divided into two types, namely thematic analysis and relational analysis (Babbie and Mouton, 2001:492). Thematic or conceptual analysis

involves ascertaining the existence and frequency of concepts normally represented by words or phrases in a text, while relational or semantic analysis scrutinises the connections and relationships between ideas and concepts in a text.

Both thematic and semantic analysis were used to interpret the data in this study. According to Matthews and Ross (2010:273) a thematic analysis is a useful way to begin working with qualitative data generated by interviews. This includes a process of segmenting, categorising and re-linking aspects of data prior to final interpretation. The researcher followed the thematic analysis process recommended by Matthews and Ross (2010:284) to work with his data. This entailed:

- organising the data;
- identifying initial key themes;
- exploring these, using charts;
- noting down interpretations;
- comparing these across interviews;
- developing categories into which the data was put;
- developing a diagram to assist with possible relationships between categories;
- looking for overarching themes which included within them the relationships identified;
- using overarching themes to explore the data and looking for possible explanations of the relationships;
- looking for similarities and differences between cases and looking for data that helped explain these differences and similarities; and
- returning to the research questions to verify whether the analysis had helped answer these.

After this initial analysis, a more in-depth approach was necessary. Therefore, relational or semantic analysis of the data was also performed, which involved examining the relationships between concepts in the transcribed interviews. During this process the presence of certain words, phrases and concepts were sought in the interviews in order to understand their meaning and inter-relationships. The patterns that were discovered in the data aided the understanding of the underlying phenomena and answering the

research questions. In addition to the interest in the frequency of words and concepts, which was identified in the thematic analysis, the relational technique concentrated on the meaning and motives for the use of these (Matthews and Ross, 2010:395). The process sought to achieve rigorous categorisation and accurate coding of the data. Each category was a group of words with similar meanings or connotations. These had to be chosen carefully because the incorrect selection of categories or codes could have reduced the reliability and validity of the study (Matthews and Ross, 2010:397).

Content analysis was thus used in analysing responses to the interview questions relating to the perspectives and opinions of the representatives of the Portuguese community organisations. The data from the interviews were organised by using a coding system or scheme which included a code name and a code definition. For example, a code named 'Records only have administrative value.' was defined as 'Any mention of respondents that their community-based records were perceived by them to have administrative value only and no wider research or historical worth'. In this way, descriptions of the respondents' opinions, attitudes, perceptions, understanding and experiences relating to the phenomenon of safeguarding the community's organisational records, were identified and coded. Thereafter, the data were sorted into each category in order to identify observable patterns and to facilitate analysis.

Both recurring (e.g. the recurring theme of the 'perceived administrative value only of community-based organisational records') and relational concepts (e.g. the relationship between the 'perceived administrative value only of community-based organisational records' and the 'eventual disposal of these records') represented by words and phrases in the interviews of the organisations, were examined in search of meaning. When appropriate, data were presented in diagrammatic or tabular form. In certain circumstances, the frequency of responses to certain questions was presented as percentages, to facilitate data interpretation.

Finally, it is also important to note that the researcher used the qualitative analysis software package NVivo to facilitate data analysis. The package was used because it facilitated the analysis of the raw data, by enabling the following:

- Transcripts of the interviews were easily imported.
- The data could be segmented into units.
- The software had coding and indexing capabilities which allowed for the search and retrieval of data units with a particular code.
- It facilitated searches to establish linkages between data units.
- It facilitated searches for patterns, words and phrases in the interview transcripts.
- It enabled counting number of occurrences of codes, words and so on, in the transcripts.
- Had the facility to produce diagrammatic representations of the links between codes and data.

(Matthews and Ross, 2010:407 [punctuation edited])

#### **5.4.10 Assumptions, limitations and delimitations**

There is often misunderstanding between what are considered assumptions, delimitations or limitations (Simon, 2010:277-278). Assumptions are factors in a study that the researcher presupposes, but are often out of the researcher's control. For instance, if choosing a sample, the researcher needs to assume that the sample is representative of the population he intends to make inferences to or, if conducting an interview, the researcher needs to assume that people will answer honestly. Apart from stating the assumptions the researcher also needs to confirm that each assumption is 'most likely' true, otherwise it would become difficult to proceed with the research.

Limitations are those features of the design or methodology of the study that may place restrictions on the interpretation or application of the results of the research, or constraints on the utility and generalisation of the findings. They often expose the potential weaknesses in a study and tend to be beyond the researcher's control. For example, when using a purposive sample, as opposed to a random sample, the findings of the study cannot be generally applied – only suggested – to a larger population. In other words, the constraint is the inability to draw inferential conclusions from the sample data to a larger group. Another constraint is time. For example, a study conducted over a certain period of time is only a snapshot, reliant on the conditions prevailing at that time.

Delimitations are those characteristics that limit the scope and delineate the boundaries of the research. The delimitations are very often within the researcher's control. Delimiting issues include the research questions, the choice of objectives, alternative theoretical perspectives that may have been adopted, and the population selected for the study, and so on. The first delimitation is often the choice of problem itself, meaning there are other, related problems that could have been elected but were not. In addition, the delimitations section clarifies, inter alia, the geographic area covered, the criteria of participants for the study, and the communities and organisations involved.

Assumptions, delimitations and limitations are clarified in a study to acknowledge existing flaws in the research and to present the possible threats to the study's validity and reliability (Simon, 2010: 277-278).

With the above in mind, this study was based on the following assumptions:

- One assumption of this study is that the interview instrument is valid and reliable and is therefore measuring the desired constructs. This assumption presupposed that the interview guide was designed accurately and that therefore, the guiding questions would get to the centre of the research problem and enable the researcher to answer the research questions. In order to support this assumption a pre testing exercise of the instrument was performed;
- Another assumption was that the directors of the organisations selected for the study, as information rich respondents, were in the best position to answer the questions of the interviews and provide the necessary information to resolve the research questions;
- A further assumption is that the respondents will answer the interview questions truthfully. To support this assumption, the researcher explained to the participants how anonymity and confidentiality will be preserved and that participation is voluntary, and that they would be able to withdraw from the study at any time and with no consequences.

Issues related to some of these assumptions are also addressed in the sections of this chapter dealing with the pretesting exercise, data collection, ethical considerations and the confidentiality and anonymity given to the respondents.

With regard to limitations on the study, the following were acknowledged in order to fully appreciate the constraints that were imposed on the research:

- One limitation was imposed by time constraints. The researcher had a specific period, recommended by the university, in which he needed to complete his research. Therefore, the study reflects the specific period of the phenomenon based on the conditions occurring during that time.
- Due to the research methodology and more specifically the sampling technique used for this study, one limitation is the fact that the researcher could not necessarily generalise from the findings to other under-documented communities or to other community-based organisations.
- The unwillingness of a few respondents to participate in the study also imposed limitations. Two ideal respondents declined the invitation, while one failed to acknowledge the invitation to participate in the study.

Certain measures to overcome some of these limitations are addressed in the sections of this chapter dealing with population sampling, and reliability and validity.

With reference to the delimitations or scope of this research study, chapter one outlined these. In short, these were as follows:

- Various theoretical delimitations defined this research. These included the choice of the theoretical paradigm of postmodernism and social history and the choice of under-documented communities or groups, which excluded other under-documented histories such as underrepresented themes and localities from the investigation.
- Furthermore, within the broader context of developing community archives and documenting under-documented groups, the scope of this study is delimited to investigating the development of an archival collecting framework for the records generated by the South African Portuguese community.

- Geographically, the empirical study is delimited to the Gauteng area. This choice was directed by the fact that the researcher is located in Gauteng, and that this province has the largest Portuguese community in South Africa, and has an array of South African Portuguese community social and cultural organisations which lend themselves to the investigation.

Lastly, the researcher also chose to focus on community-based organisational records as a possible means to safeguard the social history and memory of the community. Other possible ways such as private papers collected by community individuals were thus not investigated.

#### **5.4.11 Ethical considerations**

This section summarises the ethical issues relevant to this study. According to Mack et al (2005:8-9), research ethics deals primarily with the interaction between researchers and the people they study. Research ethics helps ensure that “as researchers we explicitly consider the needs and concerns of the people we study, that appropriate oversight for the conduct of research takes place, and that a basis for trust is established between researchers and study participants”. The authors go on to explain that, whenever research is conducted on people, the wellbeing of the research participants is top priority, and the research question should be of secondary importance. “This means that if a choice must be made between doing harm to a participant and doing harm to the research, it is the research that is sacrificed. Fortunately, choices of that magnitude rarely need to be made in qualitative research! But the principle must not be dismissed as irrelevant ...”.

Three fundamental principles form the commonly recognised basis for research ethics. Firstly, respect for persons – the dignity of all research participants must be respected. Adherence to this principle ensures that people will not be used simply as a means to achieve the research objectives of a study. Secondly, beneficence – which requires a dedication to minimising the risks associated with research, including social or psychological wellbeing; and thirdly, justice – which demands a commitment to ensuring a reasonable distribution of the risks and benefits resulting from research. Those who

take on the load of being a research participant should share in the benefits of the knowledge acquired or, to put it more simply, the people who are expected to benefit from the knowledge should be the ones who are invited to participate (Mack et al, 2005:8-9).

For this study, the researcher tried to adhere to the above-mentioned ethical principles as far as possible. With regard to beneficence, the respondents were guaranteed confidentiality in order to minimise any personal, social, professional or psychological risks. Strategies for protecting confidentiality were deemed crucial to achieve this. Ways in which confidentiality might be breached were carefully considered before data collection began and strategies were put in place for protection. These included coding of the participant's responses, which implied not attaching the participants' names to the reporting of results, thereby enhancing confidentiality. The extent of the general circumstances under which the interview discussions would be shared with others was also made clear. As regards the principle of justice mentioned above, the participants (and the organisations they represent) who were asked to participate were those who would benefit directly from the research, since the recommendations of the study would potentially assist in safeguarding the records created by them.

Furthermore, before the interview started, written individual informed consent was carried out by providing the participants with complete and accurate information about the purpose and nature of the study and the role they were to play in it. Informed consent is a means of ensuring that people understand what it entails to participate in a particular research study so they can decide in a deliberate way whether they want to participate in it. Informed consent was also one of the most important tools for ensuring the principle of respect for persons during the study. The participants were therefore informed of the following:

- the purpose of the research study;
- the fact that participation was voluntary and that the participants could withdraw at any time without any negative consequences;
- what was required or expected of each participant, including the amount of time likely to be required for the interview;



- how confidentiality was to be protected; and
- the researcher's contact information for questions or problems relating to the research.

Finally, the study also adhered to the guidelines stipulated in the Policy on research ethics of the University of South Africa (UNISA, 2007), especially those that were outlined in the section entitled 'Guidelines for research involving human participants'.

### **5.5 Summary of chapter five**

Chapter five was a review of the research methodology followed in the study. This included an explanation of the research design, the research methods employed, the means of data collection, the research population and how the responses to the data collection were to be analysed.

In the following chapter the results of data are presented and analysed.

## **CHAPTER SIX: PRESENTATION AND ANALYSIS OF THE RESULTS OF THE STUDY**

### **6.1 Introduction**

The purpose of this chapter is to analyse the data obtained from the population of the study. According to Babbie and Mouton (2001:108), the aim of analysis is to understand the various constitutive elements of one's data, through evaluating the relationships between concepts and identifying any patterns or trends, or to establish themes in the data. Data analysis is the process of making sense of the data collected by bringing order and structure to it. This is done so that the data collected can then be interpreted and conveyed to others in a research report such as a thesis or dissertation.

As discussed in chapter five, section 5.4.9, the present study used content data analysis. However, before actual analysis began, the researcher prepared the data for analysis. The raw data from the recorded interviews were transcribed by the researcher. While reading through the transcribed data for each interview, the researcher checked the data to ensure that it was accurately recorded. Other initial steps to prepare the data for analysis included labelling the data, creating an index and some exploratory coding by identifying themes and giving these a name. After the preparatory steps, the researcher began the actual process of content analysis of the data. Both thematic and relational content analysis was used to analyse the data in this study (Matthews and Ross, 2010:273). The researcher followed the thematic analysis process described in chapter five (section 5.4.9). After this initial analysis, a more in-depth approach was necessary. Therefore, relational or semantic analysis of the data, described in chapter five (section 5.4.9) was also performed, which involved examining the relationships between concepts in the transcribed interviews. The patterns that were discovered in the data aided in the understanding of the underlying phenomena and in the final interpretation of the data discussed in chapter seven.

In order to analyse the data, it was however firstly important to return to the aim of the study and the research objectives and questions, as analysis should take place with these in mind. Essentially the aim of the study entailed developing an integrated

archival collecting framework for the records generated by South Africa’s Portuguese community-based organisations in Gauteng, since these materials are deemed an important source in preserving the social history, memories and experiences of an under-documented group, such as the Portuguese in South Africa.

Over and above that, in an attempt to achieve the research objectives and to answer the research questions of the study, these were also kept in mind when analysing the data. This chapter analyses the data emanating from the semi-structured interviews held with the various Portuguese community-based organisations, that is, the data that was collected to answer objectives one to five; and the data derived from the unstructured interviews held with the South African mainstream institutions, that is, the data that was gathered to resolve objective six. To recapitulate, these are:

**Research objectives:**

**Research questions:**

<p><b>To obtain information about the South African Portuguese community-based organisations in Gauteng</b></p>	<p>What are the history, the nature, purpose, and the activities of these organisations?</p>
<p><b>To establish the nature of the records which are held at these organisations</b></p>	<p>To what extent do South African Portuguese community organisations keep records of their activities? What types of records are being generated by these community-based organisations?</p>
<p><b>To establish the effectiveness of the recordkeeping practices of these organisations</b></p>	<p>How are/have these records been managed by these organisations up to now (the status quo)?  What do these organisations do with their records after these have fulfilled their administrative use, that is, what are the appraisal and disposal practices of these organisations?  For what purposes are these records currently used for?</p>
<p><b>To determine if these organisations are supportive of and are willing to contribute to a community archives collecting initiative</b></p>	<p>Do these organisations consider the development of an archival collection of the community important? Do these organisations feel that their records may contribute to an archival record of the community? Would these organisations be interested in being involved in such an initiative?</p>

	<p>Would these organisations be willing to contribute their potential archival records by making these part of such an initiative?</p>
<p><b>To ascertain the organisations' preferences regarding custody of their potential archival records</b></p>	<p>Who would these organisations prefer to take responsibility for the care and custody of their records after these have fulfilled their administrative use? Where would these organisations prefer their potential archival records to be housed after these have fulfilled their administrative use?</p>
<p><b>To determine the willingness of mainstream institutions to accommodate the records of these community-based organisations</b></p>	<p>Are mainstream institutions such as the National Archives and universities in South Africa willing to accommodate the records of these community-based organisations? Are these mainstream institutions willing to provide assistance to these organisations? Are these mainstream institutions willing to form partnerships with these organisations?</p>

## **6.2 Analysis of the data from the semi-structured interviews with the Portuguese community-based organisations in Gauteng**

The data presented in this section were extracted from interviews held with the South African Portuguese community-based organisations in Gauteng, and supported by the literature review (chapter three) and the website content analysis (chapter four). In total, 19 Portuguese community-based organisations in Gauteng were investigated. As mentioned in Chapter Five, these organisations were given an identity code number. Identity codes were allocated as follows **P**ortuguese **C**ommunity-based **O**rganisation = **PCO**:

PCO-1; PCO-2; PCO-3; up to PCO-19

In each organisation the director, president, or chairperson was interviewed, as these individuals tended to be attached to the organisation for the longest period (sometimes since inception), and were therefore also often the most knowledgeable about their organisations.

### **6.2.1 Biographical data**

The first part of the interviews consisted of obtaining biographical data of the interviewee of each organisation, namely the chairperson of each organisation. The data obtained from this section of the interview questions were not reported on, since these were not administered with the intention of answering any of the research questions, but were rather pursued so that the interviewer could become familiar with the participants and, more importantly, to establish a rapport between the interviewer and the interviewee by asking opening questions that would create an environment where both felt comfortable and at ease.

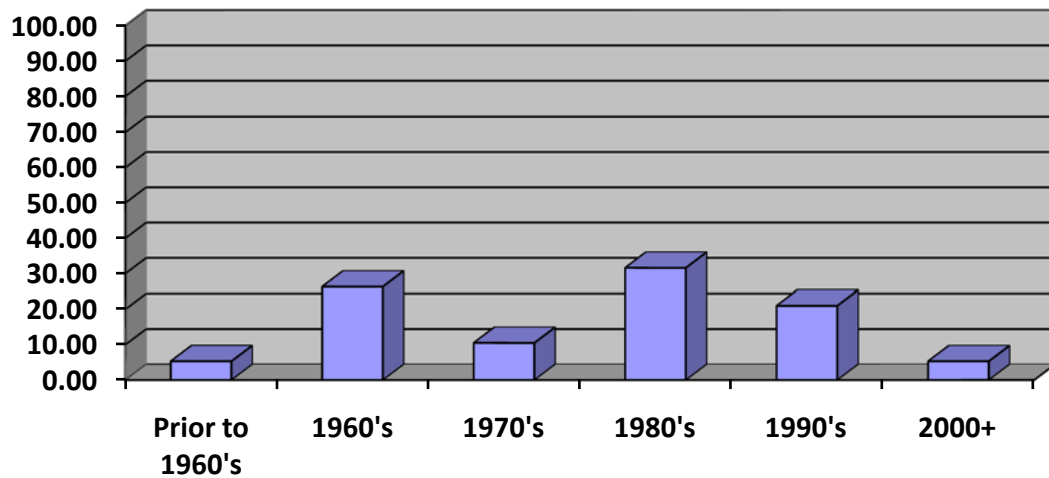
### **6.2.2 General information about the South African Portuguese community-based organisations in Gauteng**

With the interview questions relating to this research objective the researcher sought to answer the research questions about the history, the purpose and the activities of these organisations. An understanding of these organisations was deemed vital since, by putting the records creators and their environment first in the investigation to develop a proposed archiving framework for the records of the community, the most appropriate strategies towards safeguarding these would become more apparent. In addition, this information was important because it would shed light on how these organisations have been and are involved in the community, the services they provide, and how the records generated by their activities may assist in potentially documenting certain aspects of the social history and experiences of the community. It is also important to note here that information regarding these organisations was also obtained from analysing documents such as organisational publications (for instance annual reports, newsletters and pamphlets), and from organisational websites when available.

#### **6.2.2.1 History of the South African Portuguese community-based organisations in Gauteng**

With regard to the first research question of this research objective, the researcher sought to understand the history of these organisations. To achieve this research question, the researcher asked the participants interview questions during his conversations with them, such as, “How long has the organisation been in existence for?”, or “In what year was the organisation established?” All respondents indicated that

their organisations had been established more than 10 years ago. One organisation was established in the late 1930s, five were established in the 1960s, two in the 1970s, six in the 1980s, four in the 1990s, and one in 2001. The oldest organisation studied was one that served mostly Portuguese Madeirans (PCO-11), and reflects the immigration trend of the time when most Portuguese immigrants to South Africa were from Madeira. The organisations established during the 1960s were mostly those set up by the Portuguese that came from mainland Portugal, while the remaining organisations from the 1970s to the 1990s are mostly organisations that were set up by Portuguese immigrants from the ex-colonies of Mozambique and Angola.



**Chart 6.1: Distribution of the average years of establishment of the Portuguese community-based organisations**

The establishment of these organisations mirrors closely the immigration patterns of the Portuguese to South Africa, discussed in chapter two. It is also important to note that the newest organisation (PCO-14) was formed in 2001, and is predominantly an online forum that is directed mostly at young community members.

**TABLE 6.1: YEAR OF ESTABLISHMENT**

<b>Portuguese community-based organisation ID#</b>	<b>Year of establishment</b>
PCO-1	1965
PCO-2	1987
PCO-3	1982
PCO-4	Approximately 1995
PCO-5	Approximately 1974
PCO-6	1988
PCO-7	1990
PCO-8	1988
PCO-9	1961
PCO-10	Approximately 1992
PCO-11	1938
PCO-12	1979
PCO-13	Approximately 1987
PCO-14	2001
PCO-15	1963
PCO-16	1968
PCO-17	1989
PCO-18	1965
PCO-19	1992

Table 6.1 also shows that most of these organisations have been in existence for a long time (an average of approximately 33 years). These data are important because they confirm that these organisations are well established and have been involved in the community for an extended period. This strengthens the likelihood of their having more records and/or older records that potentially reflect the social history, experiences and day-to-day life of community members, which means that this documentation is more likely to contribute towards an archival record of the community.

#### 6.2.2.2 The nature of these community-based organisations

The next research question regarding these community-based organisations attempted to determine the nature of each organisation. This entailed establishing the type of organisation, its management, and its membership. Fourteen (74%) of the 19 respondents, indicated that their organisations were non-profit organisations (NPOs) registered under section 21 of the South African Companies Act 61 of 1973. As such, these community-based organisations had a public rather than a private commercial purpose, and did not operate for profit. The interviewees of these organisations

explained that they were self-funded. They may however generate funds through a variety of means. Examples of specific means of funding mentioned by the respondents included donations (PCO-5 & PCO-19), sponsorships (PCO-4, PCO-6, PCO-7, PCO-9 and PCO-18), monies generated from fundraising activities such as events, lunches and open days (all the organisations except for PCO-10, PCO-14 and PCO-15), and applications for subsidies and funding from government or other funding organisations (PCO-1, PCO-5, PCO-7, PCO-13, PCO-16 and PCO-19). This income could not, however, be paid out to their office bearers (except as payment for work done or services rendered). The income generated was therefore used for operational costs and to support the events and activities of the organisations. Funds generated were also used for charity, such as welfare to the aged in the community (PCO-5 and PCO-19).

Respondents also mentioned membership fees as a means to generate funds. Most (13 [68%]) of the organisations had paying members, although these respondents noted a decrease in membership over the last 20 years. Reasons cited for this decrease were: integration of the younger generation of Portuguese South Africans into mainstream society (PCO-1, PCO-3, PCO-4, PCO-9, PCO-13 and PCO-18), the management of these organisations being in the hands of older community members and consequently excluding the participation of younger members (PCO-1, PCO-8, PCO-9, PCO-14 and PCO-18), the inability of these organisations to offer activities that interest the younger generation (PCO-8, PCO-9, PCO-14 and PCO-18), and emigration of old and young community members back to Portugal or to other countries such as Australia and the UK (PCO-3, PCO-9, PCO-11 and PCO-17). Another important point relating to the decrease in membership and brought up by a number of respondents (CPO-1, CPO-6, PCO-8, PCO-9, PCO-14 and CPO-18), was the issue of the sustainability of many of these organisations. These respondents noted that their organisations were struggling to survive. Besides the reasons for the decrease in membership mentioned above, these respondents also referred to community divisions and community politics as problems. Often, instead of a stronger unified organisation being created in the best interests of the community, organisations were being created along personal political lines. The consequence was a large number of smaller fragmented organisations that, in the long run, were weak and potentially unsustainable.

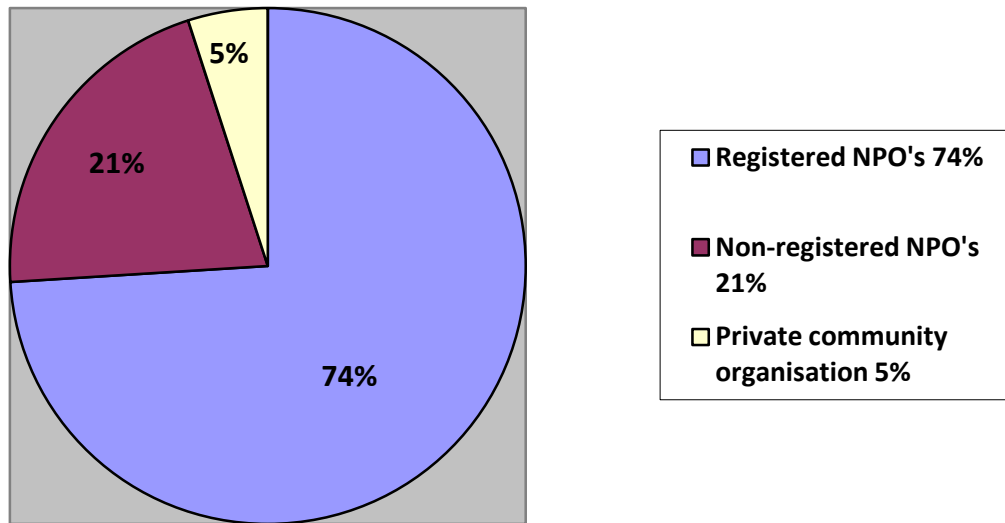


It is also necessary to point out here that three respondents from these registered NPOs (PCO-5, PCO-9 and PCO-19) reported that the registration of their organisations had imposed certain obligations on them, such as having to effect basic financial recordkeeping practices, since they had to submit annual reports to the provincial and/or national departments of social development and financial records to the South African Revenue Services. These registered organisations also had a documented constitution with a code of good practice, and the rules, regulations and articles of the organisation.

The remaining four (21%) organisations (PCO-6, PCO-8, PCO-10, and PCO-18) that were not registered under section 21, regarded themselves as non-registered NPOs. This however meant that they could not take full advantage of certain financial benefits of a legitimate NPO, such as the application for funding from government and other funding organisations.

Each the above organisations was run by a president, director or chairperson, and was most often run on a voluntary basis. Only five organisations (PCO-7, PCO-09, PCO-14, PCO-15 and PCO-19) had paid staff for administrative services. It is also important to note here that one organisation (PCO-10) acted as a central coordinating body for the other Portuguese community-based organisations, although the latter voluntarily participate in the coordinating efforts of this central organisation. Coordinating efforts included, for instance, regular meetings where the year's activities of organisations are organised in advance.

One organisation, namely a community-based newspaper, PCO-15, did not function as an NPO. The respondent, who indicated that the newspaper operated as a private company, also explained that, although the organisation did operate with the aim of making profits, generating funds through the sale of newspaper copies and through advertising, it was still a community-focused organisation, as its purpose was to inform and educate the Portuguese community in South Africa.



**Chart 6.2: Types of community-based organisations**

#### 6.2.2.3 Purpose and the activities of these community-based organisations

This research objective also made an effort to answer the research question relating to the purpose of these organisations and the community activities they were involved in. Determining the purpose and the activities of these organisations was thought to be necessary as it would offer a basic understanding of the reasons the community has established such organisations in the first place and how the subsequent records that have been created by them may reflect the purpose and activities of these establishments. In other words, the community services and activities offered by these organisations would shed light on the types of records created by these organisations.

Respondents explained that, as community-based organisations, they existed to:

- “...address the needs of their community members” (PCO-1) and, as such, their overall purpose was to provide the community with a range of services and activities; “...to promote the social and cultural development of the Portuguese community... and support and bring the community together through events, folklore dances, lunches and dinners, sports events, comedy shows, church services and religious activities” (PCO-3);

- “...keep Portuguese culture alive in South Africa and to promote the Portuguese language” (PCO-4);
- “...build solidarity within the Portuguese community, to empower the community, and to help protect the rights and interests of community members in South Africa ” (PCO-14);
- “...encourage and develop friendship links and cooperation between members of the community, to promote Portugal and its peoples in a positive light to broader South African society, and to give moral and material assistance to individuals and organisations in the community” (PCO-16).

The focus of these services and activities would however depend on the type of organisation, for instance whether the organisation was a sports community organisation, a Portuguese women’s organisation, a charity organisation, and so on. Specific examples of community involvement cited by respondents – depending on the focus of the organisations – included:

**TABLE 6.2: COMMUNITY INVOLVEMENT AND ACTIVITIES OF THESE ORGANISATIONS**

<u>Type of community involvement and activities</u>	<u>Organisations</u>
Cultural activities, such as folklore dances and competitions, theatre, Portuguese music and song ( <i>bailinho, fado</i> , etc.), cross cultural events such as transnational folklore dance festivities, and celebrations of Portuguese national days	PCO-1, PCO-3, PCO-8, PCO-9, PCO-13, PCO-16, PCO-17, and PCO-18
Social activities, such as lunches serving Portuguese dishes, social gatherings at Portuguese venues, a place to make friends and to network - even for opportunities, such as business and job prospects	PCO-1, PCO-2, PCO-3, PCO-6, PCO-8, PCO-9, PCO-10, PCO-11, PCO-16, PCO-17, and PCO-18
Recreational activities, such as Portuguese comedy shows, card game evenings, festivals, concerts and band shows, beauty contests and children’s parties	PCO-1, PCO-2, PCO-3, PCO-8, PCO-9, PCO-11, PCO-12, PCO-16, PCO-17, and PCO-18
Educational activities, such as language maintenance, teaching Portuguese and Portuguese literature, history of Portugal, computer literacy classes in Portuguese for community members,	PCO-12, PCO-16, PCO-17, and PCO-18

lectures and conferences on South African Portuguese issues, Portuguese embroidery, cooking classes, arts and crafts classes, book clubs, and a learning environment for the challenged	
Dissemination of information to the community	PCO-1, PCO-9, PCO-10, PCO-14 and PCO-15
Sports activities, such as marathons, Golf days, soccer and roller-hockey tournaments	PCO-1, PCO-4, PCO-6, PCO-7, PCO-8, PCO-9, and PCO-18
Charity and fundraising events	PCO-1, PCO-2, PCO-5, PCO-9, PCO-10, PCO-11, PCO-12, PCO-14, PCO-16, PCO-17, and PCO-19
Hosting functions for community members, such as weddings	PCO-1, PCO-3, PCO-9, PCO-11, and PCO-18
Religious activities including religious holiday celebrations such as Christmas	PCO-1, PCO-3, PCO-5, PCO-11, PCO-17 and PCO-19
Support groups such as youth or women's support, including workshops, lectures on issues of interest to the youth and women	PCO-7, PCO-8, PCO-13, PCO-17 and PCO-18
Social welfare involvement, such as support for the homeless or the aged	PCO-2, PCO-5, PCO-16 and PCO-19
Other services to the community such as an emergency hotline and trauma counselling	PCO-14 and PCO-17.

It is important to highlight here that the records created by these organisations subsequently reflect, not only the administrative functions of the organisation, but also reflect the events and activities organised by them, such as the social, sports and recreational events, and so on listed in Table 6.2. It is especially this documentation that could provide at least a partial archival record of the community, as these offer glimpses into the life of community members as lived through these organisations over the last seventy year or more. The analysis of the research objective relating to the types of records created by these organisations is, however, carried out in the next section (section 6.2.3).

### **6.2.3 Records produced by these organisations**

With this research objective the researcher sought to answer the research questions of the extent to which these South African Portuguese community-based organisations create records of their activities and what types of records (if any) these are. Obtaining

this information was deemed important as it would reveal if these organisations have any materials that may contribute towards an archival record of the community.

### 6.2.3.1 The extent to which the community-based organisations generate records

With regards to whether these organisations do produce records, the interviewees were firstly asked if their organisations generate and receive administrative records as evidence of their daily activities. All respondents agreed that they did. In addition, they were also asked whether they created records of the events, functions, programmes and other occasions their organisations were involved in. Again, all respondents confirmed that they did. A distinction was made between these types of records (administrative versus documentation of events and so on), as records that are created to capture the events and other occasions organised by these organisations often contain richer information of the day-to-day life of community members and would consequently more likely have subject matter that contributes towards documenting their social history, memories and experiences.

### 6.2.3.2 Types of records produced by the organisations

Respondents were then asked to indicate the types of records their organisations produce. In addition, they were also requested to approximate the quantity of records they have in loose terms, for example, how many cabinets or boxes of records. Where possible the researcher requested to visit the space where the records were kept, and through visual observations could approximate the amount of cabinets, and so on. Respondents listed the following types of records and numbers:

**TABLE 6.3: TYPES AND NUMBERS OF RECORDS GENERATED BY ORGANISATIONS**

<b><u>Portuguese community-based organisation ID#</u></b>	<b><u>Types of records</u></b>	<b><u>Approximate number of records</u></b>
<b>PCO-1</b>	Organisational constitution, rules and regulations, statutes, circulars, contracts, correspondence, reports, pamphlets, membership records, files for committee/boards members, policy documents, minutes of meetings, financial records, invitations	Part of a person's working office space, with about 7

	to events, event programmes, photographs, video recordings of events, newsletters and journals, electronic records (word-processing documents, financial excel records, emails, etc.), website content (a webpage and a Facebook page).	cabinets and 5 boxes.
<b>PCO-2</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, reports such as annual reports, pamphlets, files for committee/boards members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, photographs, video recordings of events, electronic records (word-processing documents, financial excel records, emails, etc.), digitised (scanned photos, etc.) records, website content (a webpage).	An office with about 3 cabinets of 4 drawers each. Loose files and documents on tables and floor.
<b>PCO-3</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, membership records, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, certificates of awards, photographs, video recordings of events, newspaper clippings, organisational magazine (ceased publication), electronic records (word-processing documents, financial excel records, emails, etc.).	A room dedicated to the storage of records, of about 10 cabinets. 6 boxes. Records also kept at various board members' homes.
<b>PCO-4</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, membership records, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, certificates of awards, photographs, video recordings of events, newspaper clippings, electronic records (word-processing documents, financial excel records, emails, etc.), and a webpage.	An office containing one steel cabinet with 4 drawers.
<b>PCO-5</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, personnel files, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, photographs, video recordings of events, electronic records (word-processing documents, financial excel records, emails, etc.).	Part of an office with 3 cabinets of 4 drawers each; about 3 boxes.
<b>PCO-6</b>	Contracts, correspondence, annual reports, pamphlets, membership records, files for committee/board members, policy documents, minutes of meetings, financial records, invitations	Part of an office with 4 cabinets of 4 drawers each;

	to events, event programmes, certificates of awards, photographs, video recordings of events, electronic records (word-processing documents, financial excel records, emails, etc.).	about 4 boxes; loose files stacked on the floor as well.
<b>PCO-7</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, membership records, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, certificates of awards, photographs, video recordings of events, newspaper clippings, electronic records (word-processing documents, financial excel records, emails, etc.).	Part of an office with 2 cabinets of 4 drawers each; about 4 boxes.
<b>PCO-8</b>	Contracts, correspondence, annual reports, pamphlets, membership records, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, photographs, video recordings of events, newspaper clippings, electronic records (word-processing documents, financial excel records, emails, etc.), digitised (scanned photos, etc.) records.	Part of an office with 3 cabinets of 4 drawers each.
<b>PCO-9</b>	Organisation's constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, membership records, personnel files, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, certificates of awards, photographs, video recordings of events, newspaper clippings, newsletters, electronic records (word-processing documents, financial excel records, emails, etc.), digitised (scanned photos, etc.) records, website content (a webpage).	Approximately 12 cabinets spread over 3 offices; about 5 boxes and various loose files stacked on tables.
<b>PCO-10</b>	Correspondence, annual reports, pamphlets, files for committee/boards members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, photographs, video recordings of events, electronic records (word-processing documents, financial excel records, emails, etc.), digitised (scanned photos, etc.) records, website content (a webpage).	A room dedicated to the storage of records, with about 8 cabinets and 5 boxes.
<b>PCO-11</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, membership records, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, certificates of	Part of an office with about 7 cabinets of 4 drawers each; about 4 boxes

	awards, photographs, video recordings of events, newspaper clippings, newsletters, electronic records (word-processing documents, financial excel records, emails, etc.).	and loose files and documents on tables.
<b>PCO-12</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, membership records, personnel files, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, certificates of awards, photographs, video recordings of events, newspaper clippings, newsletters, electronic records (word-processing documents, financial excel records, emails, etc.), digitised (scanned photos, etc.) records, website content (a webpage), school records and medical records.	A room dedicated to the storage of records, with about 11 cabinets and about 5 boxes.
<b>PCO-13</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, certificates, photographs, video recordings of events, newspaper clippings, electronic records (word-processing documents, financial excel records, emails, etc.).	Part of an office with about 3 cabinets of 4 drawers each; about 2 boxes and loose files and documents on tables.
<b>PCO-14</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, membership records, personnel files, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, photographs, video recordings of events, a newspaper, newspaper clippings, organisational publications such as newsletters, electronic records (word-processing documents, financial excel records, emails, etc.), digitised (scanned photos, etc.) records, website content (a webpage, Facebook page, online newspaper issues).	A room dedicated to the storage of records, with about 7 cabinets and about 5 boxes; loose files and documents on tables and floor.
<b>PCO-15</b>	Correspondence, annual reports, pamphlets, personnel files, policy documents, minutes of meetings, financial records, invitations to events, event programmes, photographs, video recordings of events, a newspaper, newspaper clippings, electronic records (word-processing documents, financial excel records, emails, etc.), digitised (scanned photos, etc.) records, website content (a web page and online newspaper issues).	A room dedicated to the storage of records, of about 12 cabinets and about 10 boxes; and a strongroom for



		essential records; loose files and documents on shelves, tables and floor.
<b>PCO-16</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, membership records, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, congress or conference reports, photographs, video recordings of events, newsletters, electronic records (word-processing documents, financial excel records, emails, etc.), digitised (scanned photos, etc.) records, website content (a web page).	A room dedicated to the storage of records, with about 10 cabinets of 4 drawers each.
<b>PCO-17</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, membership records, files for committee/board members, policy documents, minutes of meetings, financial records, invitation to events, event programmes, records of lecture and seminar presentations, certificates of awards, photographs, video recordings of events, newspaper clippings, organisational publications such as newsletters and journals, electronic records (word-processing documents, financial excel records, emails, etc.).	An office with approximately 5 cabinets and about 5 boxes. Records also kept at various board members' homes.
<b>PCO-18</b>	Correspondence, annual reports, pamphlets, membership records, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, certificates of awards, photographs, video recordings of events, newspaper clippings, newsletters, electronic records (word-processing documents, financial excel records, emails, etc.), digitised (scanned photos, etc.) records, website content (a web page).	Approximately 8 cabinets spread over 2 offices; about 5 boxes and various loose files stacked on tables.
<b>PCO-19</b>	Organisational constitution, rules and regulations, statutes, contracts, correspondence, annual reports, pamphlets, personnel files, files for committee/board members, policy documents, minutes of meetings, financial records, invitations to events, event programmes, photographs, video recordings of events, newspaper clippings, newsletters, electronic records (word-processing documents, financial excel records, emails, etc.), digitised (scanned photos, etc.) records, and	Approximately 9 cabinets spread over 3 offices; various loose files and documents stacked on tables and floor.

	medical records.	
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The responses to this question displayed in Table 6.3, reveal that these organisations generate a variety of materials. These encompass administrative records such as minutes, financial records, membership cards, and so on. In addition, organisations produced a range of documentation that reflected the events and other activities they were involved in together with their community members. These included materials such as photographs of social events, video recordings of cultural events such as folklore dances, seminar and conference reports, organisational publications such as newsletters, ephemera such as pamphlets, and so on.

The rich diversity of this documentation confirmed what the literature review (chapter three) and the website content analysis of institutions involved in community archival collecting efforts (chapter four) showed, that is, that the materials produced by these community-based organisations are often diverse and may act as an important potential source for an archival record of an under-documented community.

It should also be noted here that just over half, 10 of these organisations (PCO-3, PCO-4, PCO-7, PCO-9, PCO-11, PCO-13, PCO-15, PCO-16, PCO-17 and PCO-18) also kept artefacts such as medals, old flags, framed photos and diplomas, signed soccer t-shirts and soccer balls, trophies, framed Portuguese Madeiran embroidery, and so on. In addition, four organisations (PCO-1, PCO-9, PCO-11 and PCO18) kept library materials (such as Portuguese books and magazines). The respondents from these organisations were therefore of the opinion that any archival space for the community should also preferably include a combined museum/library space, where these artefacts and books could be preserved and exhibited (discussed in section 6.2.6.2).

Finally, with regard to this research objective, participants were asked to indicate how far back the records their organisations have produced, go. All respondents declared that their records went back to when the organisation was established. However they also explained that many records have been lost over the years due to careless

management. This brings us to the discussion of the next research objective: how these records are currently being cared for at these organisations.

#### **6.2.4 The recordkeeping practices of these organisations**

With this research objective the interviewer sought to answer the research questions of how these records are being managed by these organisations at present (the status quo), what happens to these records after they have served their administrative functions (appraisal and disposal practices), and what purposes these records are currently being used for. Obtaining this information was deemed important because it would reveal how these organisations currently care for their records, and subsequently shed light on an archival collecting framework that may support their management and preservation.

##### **6.2.4.1 Circumstances in which the records of these community-based organisations are being cared for and kept**

Answering research question one for this objective included trying to determine in what physical space these records are stored, in what types of files, the filing systems used (if any), who was responsible for managing these records, and whether they had any instruments to assist them in locating their records (finding aids). Where possible the researcher also requested to visit the space where the records were kept and, through visual scrutiny, made some additional observations regarding the state of affairs.

As was shown in Table 6.3, 32 per cent of the organisations keep their records in a dedicated 'records' room, while the remaining 68 per cent kept theirs in cabinets in someone's working office. Apart from files in cabinets, records were also stacked in boxes – in no particular order. Nine respondents also indicated that some of their records were simply stored in piles on tables and shelves, or even on office floor space. There were two respondents (PCO-3 and PCO-17) who indicated that some records were also being stored in cabinets or in boxes in the homes of current and/or ex-directors or chairpersons.

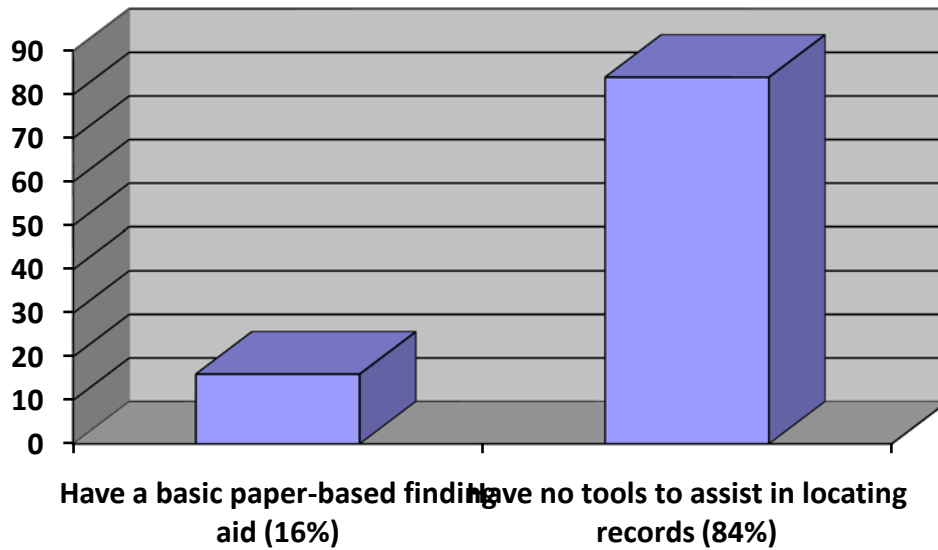
It was further ascertained that the records of all the organisations were kept in an environment that was not conducive to the storage of records or potential archival

materials. Even in the case of dedicated records storage rooms, these were not in any way controlled in terms of temperature, humidity or any other document storage safety requirements, such as fire preventative measures. Nor were the files and boxes used for the storage of these records purchased with the preservation of these records in mind, such as trying to acquire acid-free files and boxes.

Fifteen of the interviewees observed that they did not have any form of file plan or consistent filing system or, as one respondent (PCO-17) explained, “Whoever creates a record simply places it inside the latest file on top of the last document filed”. Four organisations, PCO-10, PCO-12, PCO-15 and PCO-19, however indicated some basic knowledge of storage and filing and reported that they file their records according to subject and date. Furthermore, the records that organisation PCO-15 deemed important, such as legal contracts and so on, were kept in a separate strongroom. However, even with this organisation, there were loose files and documents piled on shelves, tables and on the floor, in no particular order.

#### *6.2.4.1.1 Finding aids*

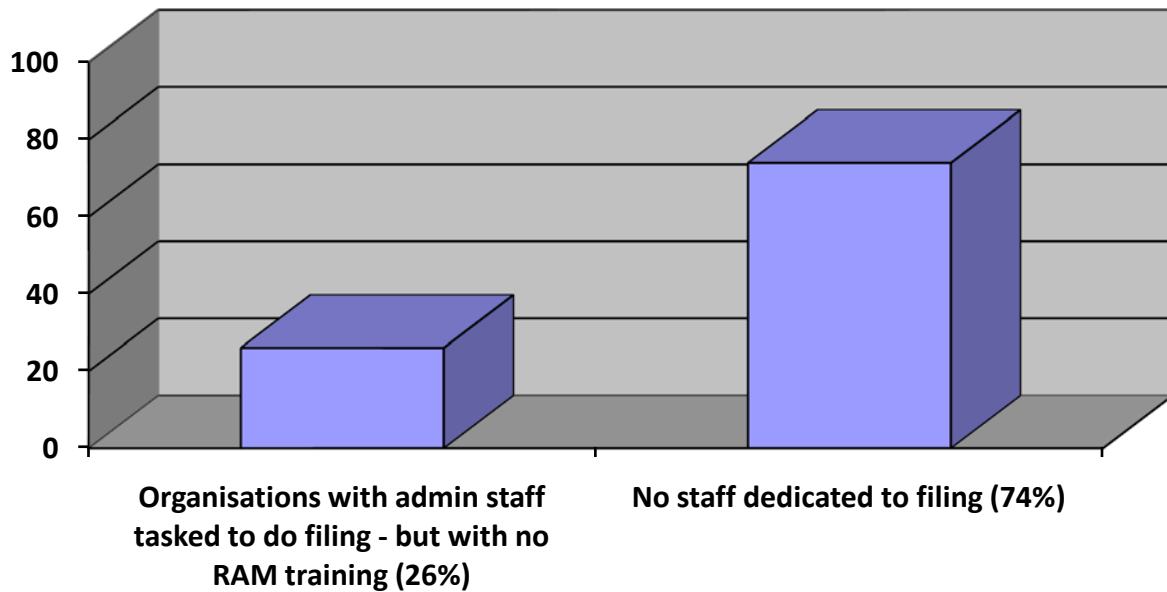
In answering this research question the interviewer also attempted to determine whether these organisations had any tools (finding aids) to assist them in locating their records. Sixteen (84%) of the respondents indicated that they did not. They explained that they did however label their cabinets, boxes and their files and, when trying to retrieve a document, would browse through these until they found the record(s) they were searching for. These organisations also indicated that this was only relevant to their current records. Older records that were transferred to boxes were often piled into these, unmarked. Three organisations, PCO-10, PCO-15 and PCO-19 pointed out that they do have a basic paper-based subject list of records and files, which indicates the locations of these within cabinets. However, even these organisations revealed that many older records were in boxes or piled onto tables without proper labelling.



**Chart 6.3: Tools (finding aids) used in these organisations to locate records**

*6.2.4.1.2 Person(s) responsible for managing records*

In answering this research question the interviewer also attempted to determine who is responsible for managing these records. Fourteen (74%) of the respondents indicated that no specific person was responsible for caring for their organisation’s records. Records were simply filed by the director or staff/volunteers responsible for creating or handling a specific record at any given time. Only PCO-09, PCO-15 and PCO-19 each have a full time administrative staff member who carries out filing as part of his/her job description, while PCO-7 and PCO-14 each have a part-time secretary who also files records. However, when asked if these individuals have any form of records and archives management (RAM), filing or recordkeeping training, all of the respondents indicated that they did not.



**Chart 6.4: Staff dedicated to recordkeeping activities, such as filing records**

It is also important to highlight here what was mentioned at the end of the discussion of the previous research objective, that is, respondents from these organisations indicated that many records have been lost over the years. The researcher decided to follow this information up with a further question, asking participants for the reasons why this may be occurring. Reasons that may be contributing to these losses – mentioned by participants – included a lack of proper management of these records (PCO-3), the merging or closing of organisations (PCO-2), records being scattered in different locations such as previous members’ houses (PCO-3 and PCO-17), transfer of records between old and new staff members (PCO-3 and PCO-17), lack of resources (PCO-3 and PCO-4), lack of adequate storage facilities and equipment (PCO-2, PCO-4 and PCO-17), lack of dedicated records staff (PCO-17 and PCO-18), lack of archival and records-management skills (PCO-13 and PCO-17), too many people filing and handling the records (PCO-18), ignorance or a lack of awareness of the importance of keeping records (PCO-6, PCO-13 and PCO-15), seeing records as only having administrative value, so discarding them after this use (PCO-10 and PCO-13), and neglect or a lack of interest and commitment (PCO-4).

One respondent also explained, “Younger South African Portuguese taking on the management of these organisations are sometimes not fluent in Portuguese and therefore cannot read the older documents and understand the content they hold, and as a consequence they might throw them away” (PCO-13). The same respondent from PCO-13, and respondent PCO-15, were also of the opinion that more records will be lost if a programme to manage and preserve these records comprehensively is not pursued urgently, especially due to the gradual integration of younger community members into broader South African society, and the consequent potential closure of some of these organisations as some of them become redundant or unsustainable.

#### *6.2.4.1.3 Seeking outside assistance to manage their organisational records*

With regard to this research question: how these records are being managed by these organisations at present, the researcher also tried to determine whether these organisations have ever sought outside help to manage their records. Participants were first asked if they were aware of organisations that may be able to offer them assistance with managing their records. Most, 13 (68%) of the 19 respondents, had heard of companies such as Metrofile or Document Warehouse. However, only one organisation, PCO-15, had had meetings with Metrofile to look at the possibility of their helping with this recordkeeping. They however decided not to pursue this option any further due to financial implications. It should also be noted that none of the respondents mentioned any other type of archival institution, such as the National Archives of South Africa, as being a possible source of archival and records-management assistance.

When asked if they would welcome assistance in whatever form to help manage their records, the majority 18 (95%) of the 19 respondents indicated that they would, or as one participant explained (PCO-3), “...because we are a non-profit volunteer-based organisation, we feel that we do not have the resources, skills or time to manage our records in a satisfactory way, and for that reason we will welcome such assistance...”, or as another respondent (PCO-12) put it, “We would like advice on how to manage our records, and maybe even establish our own archives.” One respondent (PCO-15), on the other hand, expressed a different view and felt that they did not need outside

assistance stating, “We believe we have the resources and skills to look after our own records.”

It should be noted here that one respondent (PCO-12) also made an insightful comment concerning outside assistance. He explained that the assistance from outside, or “intervention” as he called it, could begin at different stages, depending on the preferences of the organisation concerned. For instance, an organisation might prefer assistance during the current records management phase, where organisations receive recordkeeping and filing advice, others might prefer assistance only from when decisions regarding disposal are made, while other organisations may only want some sort of interventionist aid for their potential archival records when they are being transferred out of their custody. These different stages for intervention or assistance highlighted the application of the records continuum model and how the latter may relate to a community archiving project (discussed in the literature review chapter three, section 3.3.1.6).

#### *6.2.4.1.4 Envisioned management of current records*

Finally, in reference to this research question, participants were also asked about their organisations’ intentions for the future management of their current records, that is, whether they were planning to change or introduce anything new or different when it came to the recordkeeping practices of the organisational records they use for administrative purposes to support their daily operations. Eighteen (95%) of the respondents explained that they had not given much thought to the future of their recordkeeping practices, or as one participant (PCO-4) put it, “We will carry on doing what we we’ve been doing because we’re a small organisation with not too many records, and we don’t know any other way.” One participant (PCO-10) also explained that they did not need to change their practices as these met their immediate operational needs. Participants did however agree that they would welcome assistance to improve the management of their records because they do not have the staff or skills to do this properly, or as a participant (PCO-12) explained, “We can’t change our practices because we do not know much about how to manage records; we don’t have the skills ... it would be nice if someone could come in and show us.” Only one



organisation (PCO-15) revealed that it is looking at better ways of managing its records especially regarding the digitisation of their newspaper issues and photographs.

#### 6.2.4.2 Current record appraisal and disposal practices of these community-based organisations

Answering research question two for this objective included trying to determine what happens to these records after they have served their administrative functions, that is the current appraisal and disposal practices of these organisations. Participants were initially asked who was involved in any decisions regarding which records should be kept and which records should be thrown away. All the respondents agreed that such decisions were made by the president, chairperson or director of the organisations. However, two organisations (PCO-15 and PCO-19) explained that, in addition, their administrative staff or secretaries also make such decisions regarding the day-to-day records they work with. At this stage the researcher decided to ask a follow-up question, namely whether these organisations would welcome any outside assistance specifically to help with decisions on the disposal of their records, that is appraisal decisions about which records may be discarded and which might have potential archival value. As was observed when asked if they would welcome general assistance in whatever form to help manage their records, the same number of respondents, 18 (95%) indicated that they would. However, concerns were raised by a number (11 = 58%) of organisations about issues of confidentiality, especially of financial records.

Participants were then asked if they got rid of or discarded records they felt they no longer needed. Seventy-nine percent indicated that they did not. However, as one respondent (PCO-3) explained, although records were not purposefully discarded, “many have been lost over the years through neglect, or they have become inaccessible because no one knows where they are, or how to find them”. Or as another (PCO-17) explained, although they did not deliberately throw away any records, these were put away into boxes after their immediate use had expired and then often forgotten about. These views were also echoed by the other respondents who had indicated that they did not consciously get rid of records.

Four (PCO-1, PCO-10, PCO-15 and PCO-16) respondents did point out that they do intentionally throw away records they no longer need. The types of records mentioned by these respondents included old correspondence, circulars, pamphlets and event programmes. It was, however, ascertained that none of the participants had any sort of disposal schedule to guide them in such decisions.

Participants were then asked if at times they decided with intent that certain records need to be kept for longer periods or indefinitely. All respondents indicated that they do. When asked which types of records, all participants explained that they made a conscious effort to keep their financial records and legal documents, such as contracts. Two organisations (PCO-14 and PCO-15) indicated that they also kept back issues of the newspapers they print permanently. Only one respondent (PCO-15) explicitly mentioned the need to preserve their records for research purposes, including back issues of their newspaper and photographs. It should be noted that respondents did however explain that although other records were not kept for longer periods based on any conscious decisions, many were kept indefinitely by default as they were placed in boxes after their administrative or current uses had ended. As mentioned previously, they were often placed into boxes and forgotten, and eventually even went missing.

Participants were requested to explain whether these deliberate decisions, to either keep or discard certain records, were based on any predetermined guidelines – formal or informal. Every one of the respondents indicated that they did have informal guidelines for their financial records, but what they had, did not consist of a proper disposal schedule to guide these decisions. They mentioned the fact that, as registered or non-registered NPOs they kept their financial records not only according to legislative requirements and for auditing purposes, but also to be accountable to their community members and their benefactors. The 14 registered NPOs indicated that they also intentionally kept their constitutions, their codes of good practice, the rules and regulations and the articles of their organisations, because this was a requirement upon registration as an NPO.

Table 6.4 gives a summary of these recordkeeping practices:

**TABLE 6.4: RECORDKEEPING PRACTICES OF THESE ORGANISATIONS**

<u>Organisation ID#</u>	<u>Filing system</u>	<u>Person responsible for filing</u>	<u>Finding aids</u>	<u>Disposal System</u>	<u>Person(s) responsible for disposal decisions</u>	<u>Welcome outside help to manage records.</u>
PCO-1	None; record simply placed in files on top of the last document filed.	No dedicated person: Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
PCO-2	None; record simply placed in files on top of the last document filed.	No dedicated person: Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
PCO-3	None; record simply placed in files on top of the last document filed.	No dedicated person: Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
PCO-4	None; record simply placed in files on top of the last document filed.	No dedicated person: Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
PCO-5	None; record simply placed in files on top of the last document filed.	No dedicated person: Director/chairperson or other staff/volunteers members file records.	No	No	Director/president/chairperson	Yes
PCO-6	None; record simply placed in files on top of the last document filed.	No dedicated person; Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
PCO-7	None; record simply placed in files on top of the last document	Part-time secretary; no archives & records management	No	No	Director/president/chairperson	Yes

	filed.	training.				
<b>PCO-8</b>	None; record simply placed in files on top of the last document filed.	No dedicated person: Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
<b>PCO-9</b>	None; record simply placed in files on top of the last document filed.	Full-time admin: no archives & records management training.	No	No	Director/president/chairperson	Yes
<b>PCO-10</b>	Yes, basic according to subject and date.	No dedicated person: Director/chairperson or other staff/volunteers file records.	Yes, basic paper - based subject list.	No	Director/president/chairperson	Yes
<b>PCO-11</b>	None; record simply placed in files on top of the last document filed.	No dedicated person: Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
<b>PCO-12</b>	Yes, basic according to subject and date.	No dedicated person; Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
<b>PCO-13</b>	None; record simply placed in files on top of the last document filed.	No dedicated person: Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
<b>PCO-14</b>	None; record simply placed in files on top of the last document filed.	Part-time secretary; no archives & records management training.	No	No	Director/president/chairperson	Yes
<b>PCO-15</b>	Yes, basic according to subject and date.	Full-time admin: no archives & records management training.	Yes, basic paper - based	No	Full-time admin & Director/president/chairperson	No

			subject list.			
<b>PCO-16</b>	None; record simply placed in files on top of the last document filed.	No dedicated person: Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
<b>PCO-17</b>	None; record simply placed in files on top of the last document filed.	No dedicated person: Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
<b>PCO-18</b>	None; record simply placed in files on top of the last document filed.	No dedicated person: Director/chairperson or other staff/volunteers file records.	No	No	Director/president/chairperson	Yes
<b>PCO-19</b>	Yes, basic according to subject and date.	Full-time admin: no archives & records management training.	Yes, basic paper-based subject list.	No	Full-time admin & Director/president/chairperson	Yes

As can be seen in Table 6.4 – which encapsulates the recordkeeping practices of the Portuguese community-based organisations – although the current record practices of these organisations are generally inadequate, the encouraging detail is that an overwhelming majority of the interview participants (95%) are open to outside assistance or some sort of collaboration, and would welcome any sort of help to improve the management of their records and potential archival materials (except for organisation PCO-15).

#### 6.2.4.3 The purposes for which these community-based organisational records are currently being used

With reference to the last research question for this research objective, “For what purposes are these records being used?”, the interviewees were first asked whether they ever go back to consult any of their organisation’s records. All the respondents indicated that they have gone back to consult some of their records. They were then

asked which types of records they have gone back to consult. The following came to light:

- Every one of the respondents (100%) indicated that they had gone back to consult their financial records.
- All respondents (100%) indicated their minutes of meetings.
- Sixteen of the 19 respondents (84%) mentioned legal records such as contracts.
- Sixteen respondents (84%) mentioned membership records.
- Fourteen (74%) stated correspondence.
- Nine mentioned (47%) their constitution, and rules and regulations of the organisation.
- Six (32%) cited policy documents.
- Six (32%) indicated reports such as their annual reports.
- Five (26%) mentioned photographs of their events.
- Two (11%) mentioned back issues of their newspapers.
- Two (11%) specified medical records.
- One (5%) mentioned student records.
- One (5%) cited previous issues of publications, such as newsletters.

The participants were then asked to explain why they consulted these records. All respondents cited that the main reason they consult these records is to facilitate the day-to-day operational management of their organisations. This included for administrative and auditing purposes, day-to-day decision-making purposes and to follow up on the progress of activities. Most of the records consulted for these purposes were the financial records, legal contracts, membership records, correspondence, minutes of meetings, the organisational constitution, rules and regulations, policy documents and reports.

As observed in the list above, there were organisations that also mentioned other records that are not, however, purely administrative. The organisations (PCO-3, PCO-4, PCO-9, PCO-15 and PCO-18) that mentioned photographs of events, explained that they consulted these for publication in community newspapers and to exhibit them at

their premises for commemorative functions. The organisations (PCO-14 and PCO-15) that cited back issues of their newspapers reported that these were consulted by their journalists to follow up on past reporting so as to write new articles. The respondents that indicated medical and student records explained that they had to consult these on a regular basis since their core business involved students with disabilities (PCO-12), and their elderly residents (PCO-5 and PCO-19).

Participants were then asked if anyone outside their organisations has ever consulted their records, that is, whether they have already made their records available to the public. Only six (32%) respondents observed that they have previously had external users. They were asked to explain for what purposes these were consulted. All six (PCO-3, PCO-5, PCO-9, PCO-15, PCO-16 and PCO-17) respondents explained that these were individuals, usually postgraduate students and academics, from South Africa and Portugal doing research on the history of the community in South Africa. One respondent (PCO-15) added that these outside individuals also included researchers and journalists from South Africa, Portugal, Angola and Mozambique doing research on Portuguese South African history and Portuguese African history. Another participant (PCO-3) explained that they have had scholars conducting studies specifically on the Madeirans in South Africa.

The interviewer pursued this question with a follow-up question by asking the interviewees who had not before made their records available to external users, if they would be comfortable with making their records accessible to the public in the future. All these 13 respondents confirmed that would be comfortable with their records being made available to the public. However, of these, four respondents said it depended for what purposes, while six said it depended on which records, for example, they felt that financial records should rather be for organisational use only.

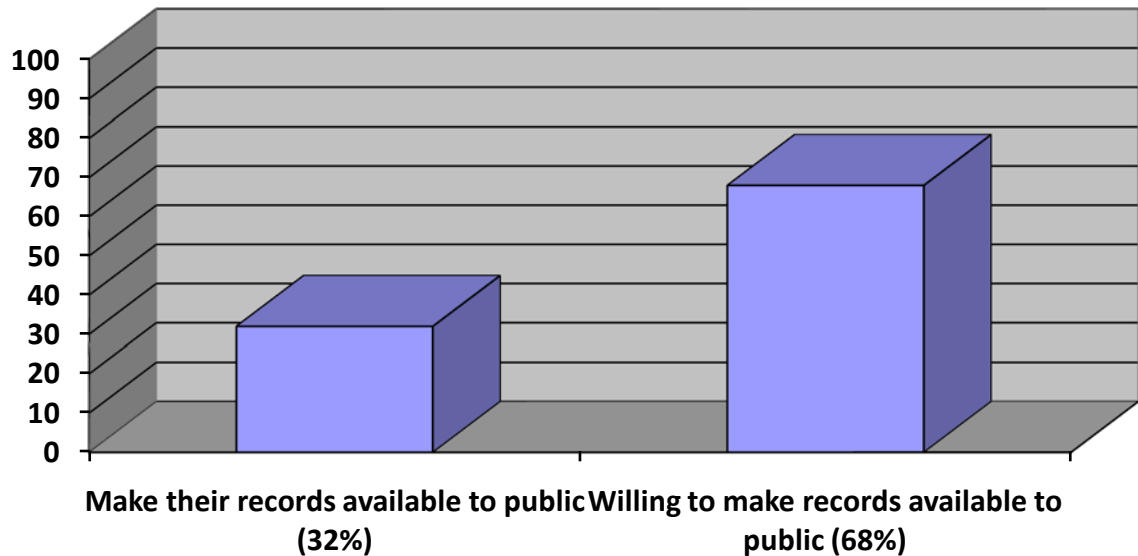


Chart 6.5: Availability of records to the public

- **Promoting records for external use**

Within this research question, participants were also asked whether they have ever marketed or made their records known to people outside their organisations. All respondents reported that they had not. Even the organisations that have had external users, explained that these came to them after they were contacted by these researchers. One organisation (PCO-15) also explained that, because they are a long-standing community newspaper, researchers often think of them by default "...as we probably have the most extensive collection of records on the community".

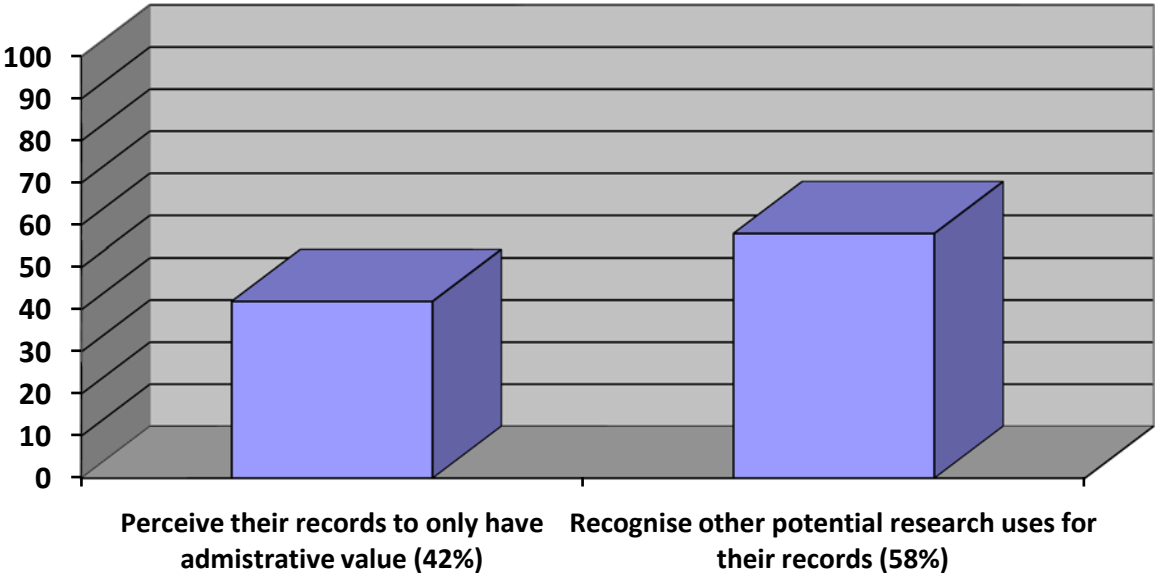
- **Participants' perceived potential user utility for their records**

Finally, as part of this research question, participants were asked to explain whether they felt that their records have any uses other than those they have already been consulted for and, if yes, what these possible uses could be. Nearly half the respondents (8 = 42%) thought that their records would probably have no value other than the administrative purposes they were created for in the first place. This corroborates the literature surveyed in chapter three, that frequently these community organisations only perceive an immediate administrative purpose for their records.



Of the 11 (58%) organisations that did feel that their records might have some other value, six were from the organisations described above that already have had external users. The other five were organisations PCO-1, PCO-10, PCO-13, PCO-14 and PCO-18. Besides the potential uses already mentioned, the participants that had responded positively were asked whether they could think of specific examples of any additional uses for their records. Only four participants did so. Two respondents (PCO-13 and PCO-18) thought that their records may be useful as a means to study the history and development of the community in South Africa. One (PCO-13) of the same respondents also thought these records may be useful in researching how the various regional Portuguese folklore dances have developed in South Africa, while PCO-1 cited the occurrence of the different South African Portuguese soccer clubs as a possible research interest. The same respondent PCO-1 and another, PCO-11 also highlighted the possible family history and genealogical role such archival collections could play.

Chart 6.6 illustrates the use the participants from these organisations perceive their records to have.



**Chart 6.6: Participants perceived use for their records**

### **6.2.5 The organisations' support and willingness to contribute their records to a community archives collecting initiative**

With this research objective the researcher sought to answer the research questions of whether these organisations deem the development of an archival collection of the community to be important, whether these organisations feel that their records may contribute to an archival record of the community, and if these organisations would consider being involved and assisting in such an initiative, including making their records part of any potential archival collections. Obtaining information on the willingness – or ability – of these organisations to support any such initiative was thought to be crucial as this data could help the researcher to determine the strategies for establishing an archival collecting framework that would be more appropriate to, or more in line with, their proposed involvement.

#### 6.2.5.1 Views of these community-based organisations on the significance of developing of an archival collecting initiative of the community

Answering research question one for this objective entailed trying to determine whether participants felt that establishing an archival collection that preserves and conveys the social history, the experiences and the life of the Portuguese community in South Africa is 'a good idea' or important, and why. In general terms, all the organisations felt that any such project in whatever form would be valuable. The following are some of the views expressed by the respondents:

"A good idea...should have been started years ago." (PCO-2), or "A good idea and long overdue." (PCO-9)

"I think the preservation of the history of the community is very important and I hope that this project is actually implemented in whatever form as soon as possible." (PCO-5)

"Some people might be sceptical at first, but I don't think it's impossible. In fact it will be a welcome initiative." (PCO-10), and "Someone has to keep the history of the community, and at the moment nobody does." (PCO-10)

"A very good idea especially if it's part of a bigger project with a cultural centre and a museum." (PCO-11)

"I think the idea is fascinating." (PCO-12)

"The preservation of the history of the community is very important." (PCO-15)

“It is welcomed ... pity there isn’t already something like this for our community in South Africa.” (PCO-18)

When asked to give reasons as to why they thought such an initiative is important or positive, most (74%) respondents gave reasons. Although some of these were vague, other participants were able to articulate more precise motives. These included:

“I’d never thought about it before ... but such an initiative is important to do now, before the younger generation becomes more integrated and our history then might simply disappear forever.” (PCO-3) or, “Right time to embark on such an initiative, before many of these records disappear with the possible closure of some of these organisations.” (PCO-9)

“It’s important because it’s a way of keeping the younger generation connected to their past and their identity.” (PCO-4)

“I wasn’t aware of us maybe being able to do something like this for our community, never thought about our records or archives ... but now that we’re speaking about it, it could tell the story of how we came about, where we came from, who we are now, and why, and how we view and fit into South Africa.” (PCO-5)

“... a place to do research and compare us to other European immigrant communities in South” (PCO-7)

“... important because many of us are losing our unique identity, so might be a way of helping us in remembering who we are and keeping our heritage preserved.” (PCO-10)

“Such a project might even attract new people, especially younger Portuguese, back to our organisations who are interested in such a project and who want to get involved or participate in it.” (PCO-11)

“A very good idea because it will tell the history of the community, to know what happened ...” (PCO-12)

“To keep heritage alive for my children and grandchildren.” (PCO-13), and “Needs to be now before anymore records are lost forever, through ignorance, neglect or whatever.” (PCO-13)

“A way of knowing what our fathers went through to live here and so on.” (PCO-14)

“A good idea to do it now, because the community is becoming weaker and smaller due to integration and a major slowdown of new Portuguese immigration to South Africa.” (PCO-15)

“It would be a means to preserve the history of Portuguese organisations in South Africa, how they started, how they’ve developed, what has happened to them over time.” (PCO-17)

“A good idea ... it could help Portuguese descendants trace their family tree” (PCO-18), and “A way of keeping our culture and traditions, and building a sense of pride.” (PCO-18)

It should be noted here that some participants did raise valid concerns albeit supporting the view that such an initiative is welcome:

“It’s important to preserve our records but I’m not sure most Portuguese organisations will actually cooperate once it gets down to actually implementing a project like this ... they also might have problems donating or transferring their records elsewhere, to any other place.” (PCO-1), and “... there might be infighting, political divisions between organisations and questions of who’s in control of the records, issues of trust ... which all might interfere with this idea.” (PCO-7)

“Although people will say they think it’s a good idea, when it comes to sitting down and getting started they won’t be committed and many won’t have the resources or time to participate.” (PCO-11)

“... I can’t see anyone or any organisation taking responsibility for such an initiative. They say they will, but won’t actually do it.” (PCO-15)

“I think it’s a good idea, but I’m not sure if many people would use it.” (PCO-19)

#### 6.2.5.2 Opinions of these organisations on the contribution their records may make to preserving and imparting the history and experiences of the community

For the second research question of this research objective, participants were asked to indicate whether they thought their records may in any way contribute towards preserving the history and telling the stories of the Portuguese community in South Africa. Again, although more than half (11 = 58%) felt that their records could somehow

contribute, they were often unable to articulate their thoughts on this clearly, and tended to be unsure or vague in their responses.

In addition, two of these respondents perceived their records as only contributing to conveying the history of the actual organisation itself. This is evident in statements such as the following:

“Our records could explain the development, contribution and the role our organisations have played in South Africa.” (PCO-2), or as another respondent remarked, “It would be a means to preserve the history of Portuguese organisations in South Africa, how they started, how they’ve developed, what has happened to them over time.” (PCO-17)

There were however a number of participants (8 = 42%) who believed their records could not only potentially convey the history of the actual organisations, but also equally contribute towards other, broader aspects of the social history and experiences of the Portuguese community in South Africa. Or, as one respondent explained, “Our records show what we, the Portuguese, have been doing in South Africa, what sports we’ve been involved in, what festivals we celebrate, our religious activities, what music and dances we enjoy, what foods and dishes we cook, and so on and so on.” (PCO-8), or “Our records can provide a story of the community, such as our folklore and our festivals...especially when it comes to our photographs which also shows how we have lived in the past and how we live today” (PCO-11). Or, as another participant observed, our records “... show what the Portuguese community think of the previous and the current governments, how the community has been affected by developments in South Africa ... for example, how our community such as our shopkeepers have been affected by crime ... especially if you go back to the previous issues of our newspaper” (PCO-14), and “... our community newspaper has reports dating back from when it was founded that show the social, political and economic development of the community here ... We also have a rich history of the daily life of the community, through our news articles and photographs” (PCO-15).

### 6.2.5.3 The willingness and/or the ability of these organisations to be involved in supporting an archival collecting effort of the community

Part of this research objective was also an attempt to determine if these organisations would be interested in being involved in any initiative to document the history and experiences of the community. This included ascertaining whether they would consider being involved either by offering their advice, such as being part of a working group, planning or advisory committee; or through even more active involvement such as being part of a body that drives any such initiative; whether their organisation would consider assisting financially; and whether they would consider offering infrastructure such as physical space to house a potential community archival collection.

Participants were initially asked a generic question which entailed trying to ascertain if they would, in principle, consider being involved in any such initiative, independent of what form it might eventually take. All participants indicated that they would like to be involved in one way or another.

They were then asked about specific types of involvement:

#### *6.2.5.3.1 Involvement in an advisory capacity*

The literature examined in chapter three, section 3.3.1.4, demonstrated the importance of advisory bodies in community collecting efforts as a means to ensure representation and the participation of people with different perspectives and the necessary skills. Therefore, the first type of involvement concerned whether the participants would consider being part of any advisory body – together with other Portuguese organisations and other interest groups – to aid in such an initiative. Participants were given further information regarding this question, whereby the researcher explained that these may include committees, such as being part of a planning committee, an advisory committee and/or a working group, that would be responsible for assisting in the preparatory phases of any such initiative, offering guidance on issues such as from whom, where and what archival materials to seek, and giving ongoing advice once such a collecting effort had been launched.

Seventeen (89%) respondents indicated that they were willing to serve on any such advisory committees. All the same, a number of concerns were raised. These included issues such as that participation would depend on how often such committees needed to meet, whether these committees landed up having to travel far distances, if participation would eventually have financial implications, and if so, who would bear the costs. Another concern raised, pertained to ensuring that committees need to be representative. On this issue one respondent (PCO-1) strongly felt that any committee should not only be made up of the chairpersons of these Portuguese organisations, but should also include South African Portuguese youth, businessmen, individuals, academics, and people skilled at managing archives.

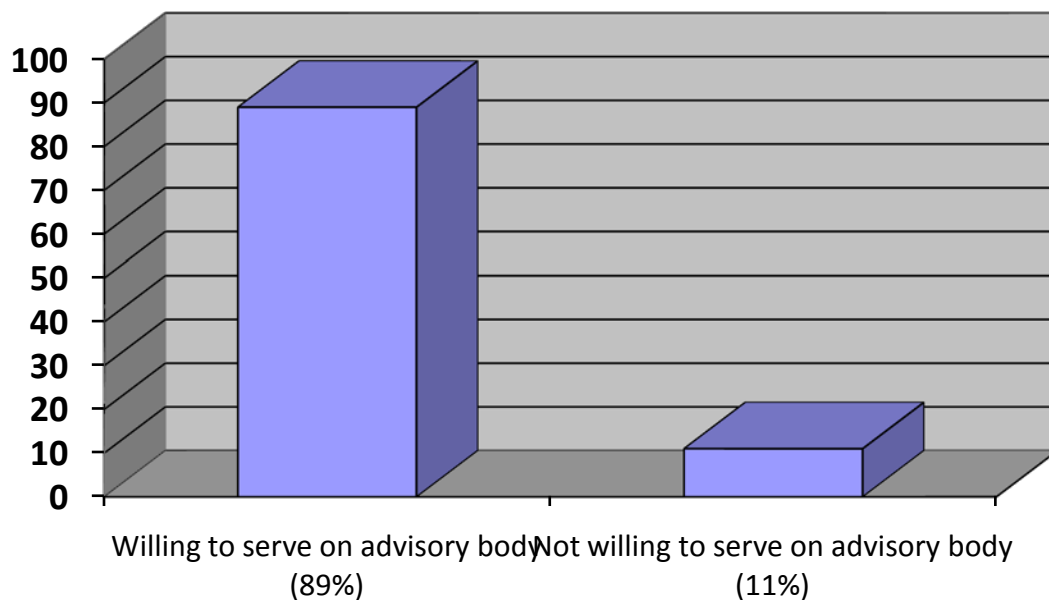
Another participant had similar views and explained, "Such a committee needs to be diverse ... we need to get input from a mixed age group, not only the oldies that are in charge of these organisations, if we're to get diverse perspectives" (PCO-8), while another was of the view that " ... all relevant stakeholders would need to be invited to serve on these committees and all of them need to be given a sense that they are welcome to participate ... or otherwise one would eventually encounter resistance, from the ones that feel left out, and the project would then be doomed to failure" (PCO-10). The same organisation (PCO-10), as the coordinating organisation for other Portuguese community-based organisations, also suggested that, to achieve greater participation and representation, all the organisations and other possible stakeholders should be invited to their organisation for a meeting where a presentation should be given (preferably by the researcher) to explain and discuss any proposed archival collecting initiative. Individuals who show interest in the initiative at this meeting could then be identified and invited to serve on any planned advisory committee.

This suggestion was echoed by other organisations (PCO-3, PCO-7, PCO-8, PCO-11, PCO-15, and PCO-18). In addition, these respondents suggested the need to raise awareness about the importance and purpose of a community archival collection as a necessary initial step to forming an advisory body for any such collecting effort. They expressed the need for a series of talks and presentations on the proposed initiative to be given to members of the Portuguese community organisations or, as one interviewee

asserted, “We need to have a meeting at one of our organisations where we invite all our members ... they need to be made aware of the importance of archives and our heritage, have explained to them what it is, what it is we can do, because many of our members don’t understand this ... we need to explain why it’s important, why we need to do this ... get their support and invite them to participate” (PCO-8).

The two respondents (CPO-12 and CPO-19) who indicated that they would rather not formally serve on any advisory type committee, both mentioned time constraints due to other commitments as the reason. They did, however, state that they did not mind being called upon for advice on an ad hoc basis.

Chart 6.7 Shows the willingness of these participants to either serve or not on an advisory body which helps to develop an archival collecting initiative of the community and offers ongoing advice and guidance on associated archiving issues.

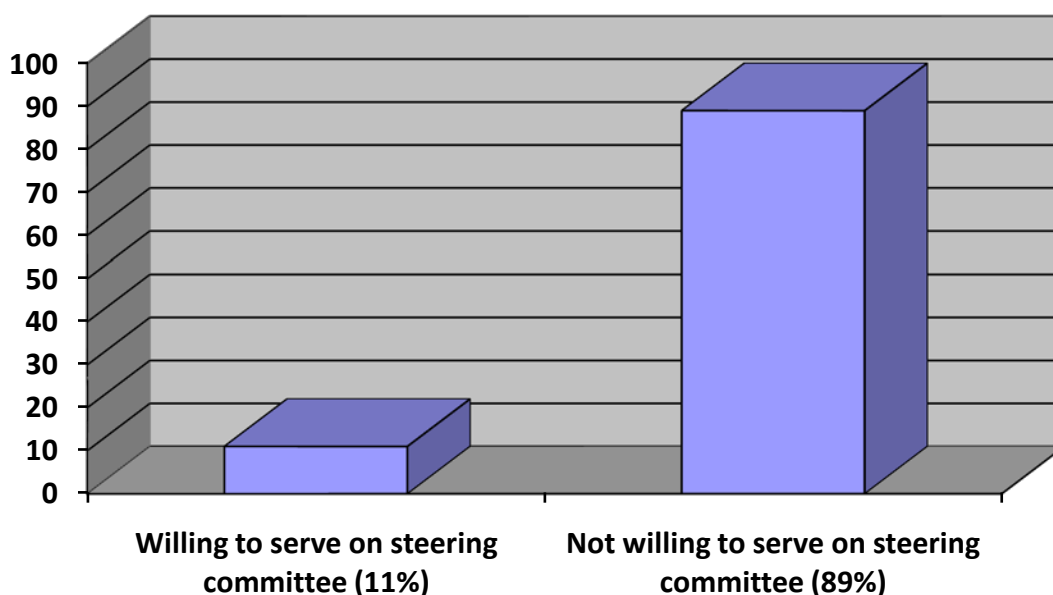


**Chart 6.7: Willingness to serve on an advisory body which assists with an archival collecting initiative of the community**



### 6.2.5.3.2 *Involvement in a leadership role*

Participants were also asked whether they would consider a more active involvement such as being part of a coordinating body, for instance a steering committee that would be responsible for actually taking charge of or driving such a project. As Chart 6.8 demonstrates, the majority 17 (89%) of the 19 respondents said they would not. Lack of time due to other commitments – such as work and family responsibilities – proved to be the leading reason precluding them from such involvement. A perception that they might not have the necessary skills and consequently would not be able to contribute positively towards the management of a project like this was also mentioned by three participants (PCO-5, PCO-12, and PCO-19). Two respondents (PCO-4 and PCO-8), however, did express that they would consider being part of a coordinating body for such an initiative. One respondent (PCO-04) declared, “I would not mind being part of a central body that is responsible for such an initiative, including driving it ... I also feel that this central body must be made up of representatives not only from all the organisations, but also individuals that are not actively involved in these organisations and still identify as being Portuguese or Portuguese descendants, South African Portuguese businessmen, and so on”.

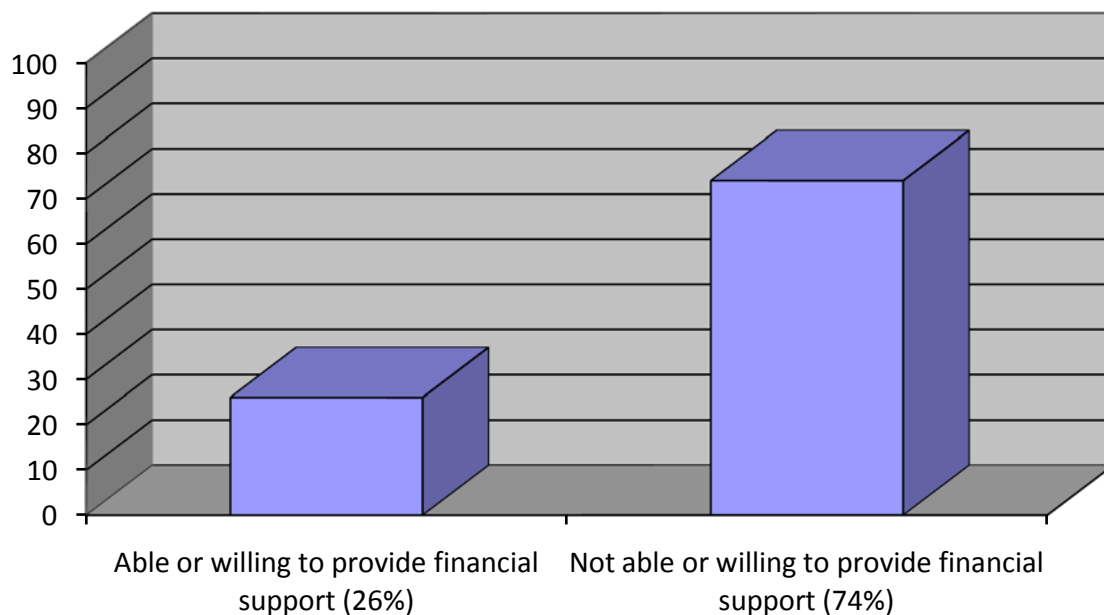


**Chart 6.8: Willingness to serve on a steering committee**

### *6.2.5.3.3 Participants' willingness or ability to provide financial support for any proposed archival collecting initiative of the community*

The third type of involvement required participants to indicate whether their organisations would consider providing any type of financial support or funding for any such proposed collecting initiative. Fourteen (74%) respondents indicated that, although they would be keen to offer such support if it were feasible, their organisations were not in the financial position to do so, especially as non-profit organisations that were often struggling to make ends meet. Only five participants (PCO-1, PCO-10, PCO-14, PCO-15 and PCO-16) specified that their organisations would be willing to help, and were in the financial position to make donations or contribute monies towards such a project. One responded (PCO-3) also proposed that “ ... funding could be raised through the actual organisations, by arranging events, such as donor lunches and so on, specifically to support and raise money for such a project”. Two respondents even suggested that they, as private individuals were willing to partially support such an initiative financially.

Chart 6.9 illustrates the participants' willingness or ability to provide financial support for any proposed archival collecting initiative of the community. As can be seen in the graph, most were unwilling or unable to provide such support.



**Chart 6.9: Participants' willingness and/or ability to provide financial support for an archival collecting initiative of the community**

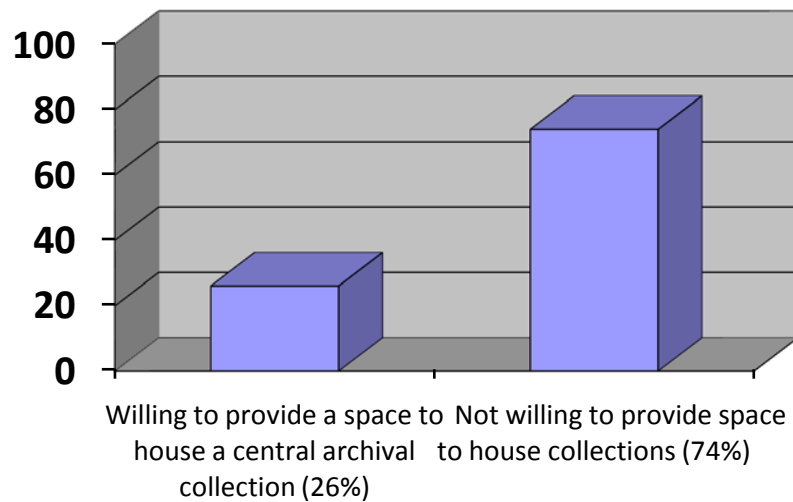
Since, however, the extent of any financial support was not part of the question, none of the participants provided such details. It should also be noted here that, although many organisations felt that their organisations would not be able to support such an initiative financially in any way, they did feel that there were other means towards funding such a project and made various relevant suggestions. These are discussed in section 6.2.7 of this chapter.

#### *6.2.5.3.4 Participants' willingness to provide a physical space to house any proposed archival collection of the community*

As part of the research question, participants were asked that, if a central space was needed to house such collections, would their organisations consider providing such a space. Chart 6.10 illustrates clearly that the majority (14 = 74%) of the 19 participants said that they would not. The reason cited most often (71%) by these respondents was the lack of available space to do so. Other explanations given included political divisions and infighting between organisations, with the result that other organisations would probably not agree to transfer their records to their organisation. Consequently, these respondents felt it would be best not to offer such a space in order to avoid these types

of situations. Potential logistical problems were also cited as reasons these respondents did not want to volunteer their space. These included questions such as who would furnish and equip the space with the appropriate infrastructure; and issues of access to the premises, financial concerns, and security issues.

On the other hand, five respondents (PCO-1, PCO-9, PCO-10, PCO-14, and PCO-15) confirmed that they would be willing to provide such a space. Even with these, however, concerns similar to those of the respondents who were not willing to provide such a space, were raised. For instance, a comparable concern cited by three of these participants (PCO-1, PCO-10 and PCO14) was that of political divisions and infighting between these organisations, and that other organisations might not agree to participate in transferring their records to a different organisation. Related to this comment was that of a lack of trust between organisations. Two organisations (PCO-9 and PCO-10) also brought up similar potential logistical problems, such as who would furnish and equip the space with the appropriate infrastructure, who would physically manage the archive space; issues of access to the premises and the collections, and financial concerns. One respondent (PCO-15) also noted that consensus would have to be reached between these organisations regarding who should house these records and this would be difficult because of these suspicions and divisions. Worth noting is that the coordinating organisation (PCO-10) was nonetheless suggested by a few respondents – although not a majority (only 37%) as a possible space, and the same organisation did indicate its own willingness to provide such a space if necessary.



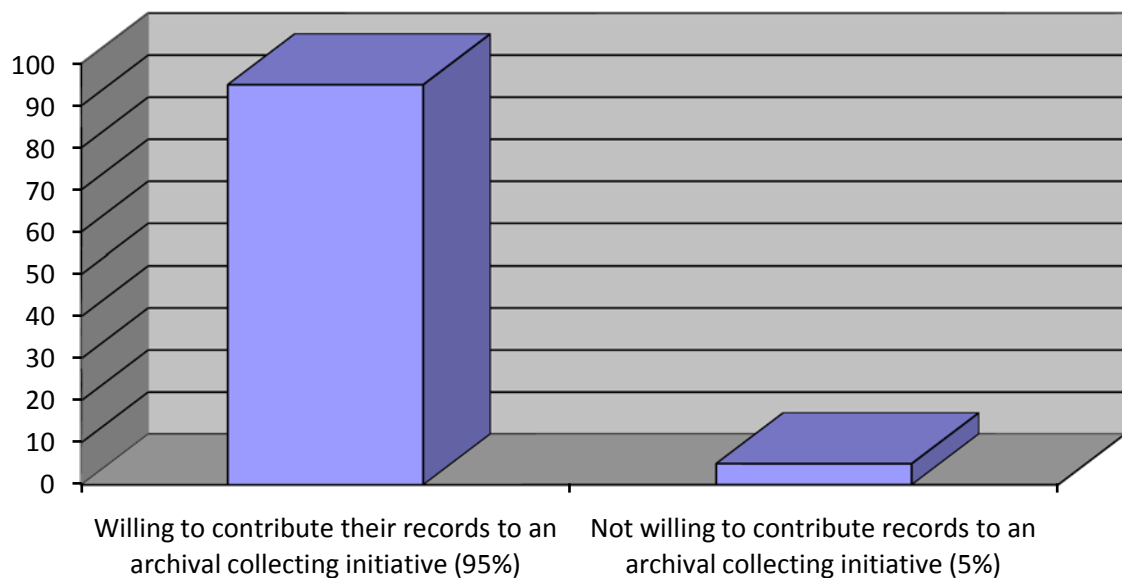
**Chart 6.10: Participants' willingness or ability to provide a space at their organisation to house an archival collecting initiative of the community**

It should also be observed here that the willingness, or not, of these organisations to house any potential archival collections on their premises is closely linked to the subsequent objective of determining the participants' custody choices and who should preferably house these records, which is presented in further detail in section 6.2.6.

#### 6.2.5.4 The willingness of these organisations to contribute their potential archival records to a collecting initiative of the community

Finally, also pertaining to this research objective, participants were requested to indicate whether they would consider making available their records that were no longer being used for administrative purposes for, or for part of, any proposed archival collecting initiative. Obtaining this information was deemed essential, since any such collecting efforts would depend on this form of involvement or support from these organisations.

In general terms, all respondents (refer to Chart 6.11), except for one (PCO-15), replied that they would be willing to make their 'older' records available for, or for part of, an archival collection of the community.



**Chart 6.11: Participants’ willingness to make their organisations’ potential archival records available to an archival collecting effort of the community**

When, however, this question was followed by probing questions to find out how they envision this involvement, responses were diverse and many conditions and concerns surfaced. Up front, the idea of making their records available for such a project seemed like a good idea yet the reality of such an undertaking presented the participants with a number of reservations. The first concern to arise was the type of records that would potentially be considered for inclusion. This was brought up by a number of participants (79%), who named financial records and other confidential records. Respondents felt that they would only be willing to make certain records available to any archival collecting effort, and that these restrictions would have to be made clear from the start to avoid disappointment and conflict between the organisations contributing records and whoever is ultimately involved in managing the archival collections.

Secondly, concerns regarding the wellbeing of their records were raised by more than half of the interviewees (63%). They explained that they would need to be assured that their records would be in good hands before transferring any away from their own custody, for example, that the infrastructure was adequate, the storage facilities were acceptable, the people caring for their records were skilled and trustworthy, and so on.

Thirdly, a small number of respondents, six (32%), brought up the issue of financial sustainability, explaining that they would only consider transferring or donating any records to an entity that has the funds to sustain such a project. They also pointed out that most of the actual community-based organisations would probably not have the means to sustain such an initiative on their own, and that some – due to depleting membership and funds – faced the real possibility of closing in the near future, and would therefore not be suitable candidates to house such a collection.

Additionally, three participants (16%) reported that they would only participate in such an initiative if they were encouraged to give their input; if they were assured that all decisions were made with their collaboration, and that they are properly informed and consulted during the entire process of planning and establishing such a collecting effort; in other words, if they were assured that the initiative would adopt a participatory approach to its archiving effort from the start. They elaborated by explaining that they will need to be informed of, for example, the exact purpose and mission of the initiative, who is going to be involved, who is driving the project, and so on. This need for ‘participatory archiving’ was also observed in the literature reviewed in chapter three (section 3.3.1.4).

Finally, linked to the next research objective of determining attitudes towards where these records should be housed (examined in section 6.2.6), several respondents (10 = 53%) indicated that this would influence how willing or not they would be to contribute their records to such an initiative. For instance, the four respondents that were in favour of a central community-based archive indicated in section 6.2.6, explained that they would possibly only consider transferring their records to such an establishment, while the other six respondents pointed out that they were only likely to transfer their records to a mainstream archive, such as a university, especially in the light of political infighting and divisions within their own community-based organisations. Other respondents conversely revealed that they would be more willing to transfer their records if the initiative followed a more collaborative approach, including for example, physical custody at a mainstream institution, but with participatory management of the collections from community members. Again, however, as with the previous question, it should be

observed here that the willingness, or not, of these organisations to make their records available to any potential archival collections is intimately linked to the subsequent objective of determining the participants' custody preferences. Therefore, this issue is analysed in greater detail in the subsequent section, 6.2.6.

Table 6.5 summarises that the participants' willingness or not to support any communal archival collecting effort, was depended on what type of backing was expected. Although, in principle, respondents supported the idea of a collecting initiative, and the majority supported the suggestion to serve on an advisory committee, most did not support the idea of being part of a steering committee, most did not propose their financial support, and most did not offer their physical infrastructure to house a central collection either, while all – but one – were willing to contribute their records to any planned collecting initiative of the community.

**TABLE 6.5: ORGANISATIONS' WILLINGNESS TO BE INVOLVED IN ANY PROPOSED COMMUNAL INITIATIVE**

<b>Organisa tion ID #</b>	<b>Supportive of an archival collecting initiative.</b>	<b>Willing to serve on advisory body.</b>	<b>Willing to drive any collecting initiative for the community</b>	<b>Willing to provide financial support.</b>	<b>Willing to provide central space to house records.</b>	<b>Willing to contribute their records to a collecting initiative.</b>
<b>PCO-1</b>	Yes	Yes	No	Yes	Yes	Yes
<b>PCO-2</b>	Yes	Yes	No	No	No	Yes
<b>PCO-3</b>	Yes	Yes	No	No	No	Yes
<b>PCO-4</b>	Yes	Yes	Yes	No	No	Yes
<b>PCO-5</b>	Yes	Yes	No	No	No	Yes
<b>PCO-6</b>	Yes	Yes	No	No	No	Yes
<b>PCO-7</b>	Yes	Yes	No	No	No	Yes
<b>PCO-8</b>	Yes	Yes	Yes	No	No	Yes
<b>PCO-9</b>	Yes	Yes	No	No	Yes	Yes
<b>PCO-10</b>	Yes	Yes	No	Yes	Yes	Yes
<b>PCO-11</b>	Yes	Yes	No	No	No	Yes
<b>PCO-12</b>	Yes	No	No	No	No	Yes
<b>PCO-13</b>	Yes	Yes	No	No	No	Yes
<b>PCO-14</b>	Yes	Yes	No	Yes	Yes	Yes
<b>PCO-15</b>	Yes	Yes	No	Yes	Yes	No
<b>PCO-16</b>	Yes	Yes	No	Yes	No	Yes
<b>PCO-17</b>	Yes	Yes	No	No	No	Yes



<b>PCO-18</b>	Yes	Yes	No	No	No	Yes
<b>PCO-19</b>	Yes	No	No	No	No	Yes

### **6.2.6 The organisations’ preferences regarding custody of their potential archival records**

As regards this research objective, the interviews attempted to uncover the participants’ preferences in terms of the custody of their potential archival records (that is towards those records that had no immediate administrative use anymore and therefore no longer needed to be located at these organisations for daily consultation). This included answering the research questions of preferences regarding the custody of potential archival records these organisations may hold, and determining where these organisations would prefer to house these records. Acquiring this data was judged vital to the study as it would reveal what these organisations are prepared to do with their records when it comes to contributing these to any archival collecting initiative of the community. This could impact immensely on the adoption of possible strategies for safeguarding these records and making them available for archival purposes. However, of all the research objectives, this one was the most demanding, since participants expressed views and statements that were not only different from but also in conflict with one another.

The literature on the topic of research analysis confirms that this often happens, especially in qualitative research, where opinions tend to be personal. May (2010) argues that inconsistency or contradictory data can result from one method, or between methods. Thus, while some results obtained from different methods, such as interviews and questionnaires can produce contradictory results, often the results from even the same data-collection method, such as interviews only, may also produce inconsistencies. Contradictory results indicate responses reflecting facts that seem to point in divergent directions, yet they can often arise from the fact that a respondent has a particular viewpoint. Often when respondents are probed further, their responses eventually show that the data obtained were not necessarily contradictory after all.

6.2.6.1 Participants' preferences regarding the custody of their potential archival records

The first research question in this research objective tried to unearth the attitudes of the participants from these Portuguese community-based organisations towards the custody of any of their potential archival records. The literature reviewed in chapter three revealed that community records often present the community individuals or organisations that hold these records with a dilemma regarding who might take custody of their potential archival records if they do decide to participate in an archival collecting effort of their community. Custody options come in different forms, consisting of traditional approaches to custody of physical and legal transfer of ownership, to alternative methods often referred to as post-custodial and stewardship approaches. The latter may include transfer only, some sort of collaborative approach such as a distributed management style, or collections held and managed primarily within the community – outside the formal heritage or archival sector – but with collaboration between the community group and archives and records management professionals.

Participants were given an explanation of these different strategies towards custody and the fact that these only applied to their potential archival records, that is after their records had fulfilled the organisations' day-to-day operational purposes or uses. The participants were then asked to indicate whether they had any particular preferences. Questions asked during the interviews to determine these preferences included whether they preferred keeping their records at their organisation with or without outside assistance, whether they would rather transfer their records to a central location yet still keep ownership of them, or whether they would consider donating their materials by transferring both physical custody and legal ownership of their records to a central archival entity.

None of the participants were in favour of the latter, that is complete physical and legal transfer or donation of their records (the traditional custody or transfer of ownership approach to archival records), especially in view of the legal transfer element which would imply that they would no longer be owners of their own records. Participants strongly felt that these records belonged to them, their organisations, their members and their communities, and would therefore prefer not to relinquish ownership of them.

This is in line with the literature reviewed in chapter three (sections 3.3.1.3 and 3.3.1.7), which revealed that communities often have a strong sense of ownership towards their records.

The attitudes of participants towards custody were nonetheless split between other alternative approaches to custody, which fall within the post-custodial or stewardship domains. Almost half (9 = 47%) of the 19 participants indicated that, as long as they had legal ownership, it did not really matter to them if they had physical custody of their potential archival records or if these were transferred to a central point. These respondents expressed opinions such as "... it doesn't really matter, as long as we can find people that are dedicated to such a project and committed to looking after our records" (PCO-4), "I have no preference to [sic] transferring our older records to a central place or records staying with us, so long as we are involved and consulted right from the beginning" (PCO-5), "I'd be OK with any arrangement, as long as our recent records, the ones that we need and use often, are kept with us ... it doesn't matter if the older documents are kept here or are transferred to another place" (PCO-16), or "Does not matter; it's a fantastic idea whichever way ... but must have community participation in deciding which records should be part of such collection and from where ... as long as someone is committed and participation is encouraged" (PCO-18).

However, when these responses were followed up with additional probing questions to determine why they had these opinions, it was ascertained that this was not always a real preference, but rather due to perceived practical needs. In other words, some took this stance because they felt that this might be the only reasonable option, considering their circumstances. Therefore, four (21%) of these respondents subsequently explained that, although they would like to keep their records at their own premises and set up their own archives, they felt that they were not in the best position to do so because they lacked adequate facilities, equipment, time, human and financial resources, skills, staff awareness and commitment. For example, respondent PCO-11 explained that " ... the ideal would be to keep our records at our own organisations, however because of a lack of infrastructure, funds, HR, etc., etc., this might not be the best option in practice ... therefore, as a second choice, I believe the records should be

taken to a central place where they can be looked after better by the right people with skills”, while another respondent (PCO-17) reported, “Ideally we would like to establish our own archives, but we’re aware that we do not have the HR, the skills and training, the equipment, infrastructure, etc. Therefore, if transferred to a new or existing central place ... we are also open to that ... or keeping our records with the input and assistance of an archivist that could volunteer to help us. We are not sure what records we would want to transfer or donate, if it came to that”.

There were a number (6 = 32%) of respondents who indicated that they had a strong preference for actually transferring the physical custody of their records to a central point. These respondents explained that they favoured this choice because they felt that the management and physical preservation of their older records might be more adequate in such a space. They also explained that they did not have the resources or skills to set up an archival facility within their own organisations, or as one respondent put it, “We can’t initiate something like our own archives, because we don’t do that and we do not know how to do it – we don’t have the expertise and so on” (PCO-12). Two respondents pointed out (PCO-2 and PCO-3) that transferring potential archival records to a central place would assist in managing these records more effectively and making them more easily accessible: records would be in one place (instead of being scattered), where they could then be processed properly and made available to researchers centrally. One of the same respondents (PCO-2) also observed, “I feel these records kept at the organisations over a long time could eventually disappear forever in the near future as organisations merge and close ... therefore it might be better to transfer them to a suitable central location that is sustainable”.

In addition, these respondents who indicated that they preferred the physical custody of their records be transferred to a central location also reported that the participation and input of the community organisations and other stakeholders would be very important within such a set-up. For instance, one respondent (PCO-3) went on to elaborate that advisory bodies with individuals representing community organisations would have to be formed to ensure that their transferred records are continually monitored and well managed. Another respondent (PCO-6) similarly explained that input from community

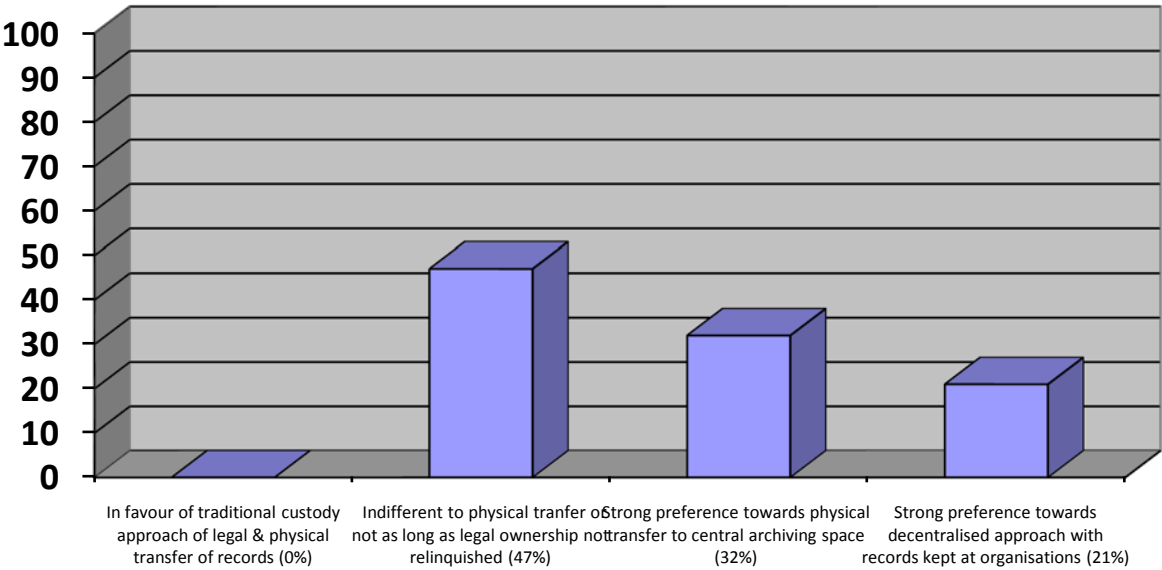
members and organisations is essential “... to make sure the records don't lose their connection with the community”.

As a final point regarding the respondents who indicated that they prefer the physical custody of their records to be transferred to a central location, a number (4 = 21%) of these also brought up another important detail. These explained that any such central archival collection of the community should not only have a regional focus (as the study population of this research was that of Gauteng), but should also include the records of the Portuguese community organisations of all the provinces, that is the collecting effort should have a national focus so as to convey, as far as possible, a comprehensive story of the Portuguese community in this country.

A few (4 = 21%) respondents insisted that they had a definite preference toward keeping their own records and would not consider transferring these anywhere out of their own custody. These participants argued that, if their records (including their older records) were kept on their own premises, they would be more readily accessible. Three of these participants did, however, explain that they would welcome outside assistance to manage their records and even advice on how to set up and manage their own archives – that is a form of contributing their records in a distributed management manner. These respondents also suggested other collaborative possibilities such as having a decentralised approach by keeping the records at the various organisations that created them, but with a central body coordinating their archival management, and receiving outside guidance and assistance from archives professionals to care for these records (PCO-8). One of the participants even proposed that “... it might be best to keep the records at our organisations, with a central body that assists us with advice on how to manage and preserve our records, including training us ... and having a central Internet webpage that brings all of our organisations' records together on one site so researchers can find our records easily” (PCO-10). The same respondent advised that, as the coordinating Portuguese community organisation, they should be part of any proposed central body if one is tasked to bring together any collecting initiatives.

There was one respondent (PCO-15), on the other hand, who specified that not only would they not transfer their records away from their own custody, but they would also not need any outside assistance to manage their records as they felt they had adequate resources to do so by themselves. He did however elaborate that they would make their records available for research and contribute these as part of any central register or finding aid that could direct potential users to their records on their own premises. The respondent also added that their records have already been – and are being – used by external researchers anyway.

Chart 6.12 encapsulates the participants’ preferences regarding the custody of their potential archival records.



**Chart 6.12: Custody preferences of participants**

Finally, with regard to the question of custody preferences it is appropriate to cite here what one of the respondents said: “... whatever the approach, you will need someone to drive the initiative ... an individual or a group of people, a central body to kick-start it and to maintain it, or else it will fail” (PCO-4).

#### 6.2.6.2 Where the Portuguese community-based organisations would prefer to house any proposed central archival collection of their records

Closely linked to the above research question, is the second and final research question this objective attempted to address, namely where these participants (a total of 15) – that indicated that they preferred (6 = 32%), or did not mind (9 = 47%) their potential archival records being transferred away from their physical custody to a central location – would prefer their materials to be transferred to, or housed. (It should be noted here that the other four participants, PCO-8; PCO-10; PCO-15 and PCO-19, did not suggest any possible central spaces to house these records since they strongly felt that these records should rather be kept by the organisations themselves with a decentralised approach to managing their archival resources – see section 6.2.6.1 analysis above).

As was observed in chapter three, the literature suggests many different possibilities when it comes to a centralised approach to housing community records, such as mainstream institutions like universities, independent community-based archives, transfer to an existing broader community centre, or even transferring records to the national or local archives of a particular country. Participants were given an explanation of these different possibilities. The participants were then asked to indicate whether they had any particular preferences. Questions asked during the interviews to determine these preferences included whether they preferred transferring to and keeping their records at an independent community-based archives to be created by the community, or to an existing community-based organisation that can also act as a central archives for the community, or to a mainstream institution such as a special collection of a university, or if they could suggest any other possible spaces that could ideally be used to house any potential communal archival records. The respondents often suggested more than one possible space, although they would often prioritise these.

Participants were in disagreement as to whether they preferred a mainstream institution taking on the collecting effort or if they favoured a community-based approach, although just over half (8 = 53%) of the 15 participants (those that indicated a preference for a centralised approach) did suggest a mainstream institution as their first choice. At face value this may seem like a surprising result, especially as much of the literature

reviewed (chapter three) indicates that community individuals and organisations frequently prefer to keep their records within community structures, especially due to concerns of ownership and also issues of trust regarding mainstream institutions. However, when this question was pursued by a follow-up question as to why, respondents gave similar motives. These included two main reasons. Firstly, most of these – six of these eight participants – felt that a mainstream institution would be in a better position to care for and preserve their potential archival materials, since such institutions generally have more resources, skills and so on to sustain such an initiative, or as one respondent put it, “The community does not have the resources and no one will take responsibility in the community. They say they will, but then they’ll come up with all types of excuses ... I feel that if a mainstream organisation does it they will do it better, they have the know-how, resources, trained people ...” (PCO-2). The same respondent went on to explain that, “ ... if the community had its own archives with the same level of expertise, funding, infrastructure and the potential to be sustained, then I wouldn’t mind these staying in the community ... but unfortunately we don’t”.

Another important reason brought up by these respondents was that they felt that, because of the existing political infighting and mistrust between these organisations, it would be best to transfer these records to a neutral space. Issues of trust did not, therefore, trend so much towards mainstream institutions as reported in the literature in chapter three but, in the case of these organisations, issues of trust seemed to be directed towards, and more apparent, between the community-based organisations themselves. This was observed by a number of participants (PCO-2, PCO-3, PCO-4, PCO-7 and PCO-18). One respondent (PCO-2) commented on this issue by explaining, “There’s a lot of politics and infighting between the organisations, so better to keep records at an outside place, then no one feels left out ... as long as everyone can give their ideas and input about their records and how they should be kept ...”, while another declared, “This regionalism and politics going on between our organisations will interfere with any place set up by the community itself, who’s in control and so on ... so I think it is better that a(n) [mainstream] outside organisation starts and manages an initiative like this” (PCO-7).



Participants who favoured a mainstream option did point out some concerns though. They (PCO-2, PCO-4 and PCO-7) conceded that there may well be a number of organisations that would not be prepared to transfer their records to a mainstream institution for reasons of confidentiality. Surprisingly, none of these respondents mentioned the potential physical distance between a proposed central mainstream initiative and the organisations that create the records, as a likely drawback. For instance, staff members' access to their own records might be more difficult as a result.

Regarding the respondents who indicated a leaning towards a mainstream institution, when these were asked to indicate which type of mainstream institution they would prefer, all of them specified a university as one such possibility, for instance transferring their records to a university archives or a university library. In addition, two of these respondents (PCO-1 and PCO-6) also suggested the National Archives as a possibility. However, as regards transferring their records to mainstream institution, it should be noted here that at the end of the day the viability of such a choice is equally dependent on the willingness of these institutions – such as a mainstream university or a government archives – to acquire and accommodate the records of these community organisations. The researcher therefore pursued this issue by conducting a short unstructured face-to-face interview with the National Archivist of South Africa and informal telephone discussions with three South African universities, namely the University of South Africa, the University of Johannesburg and the University of the Witwatersrand. These institutions were asked whether they would be willing or able to acquire materials from community organisations, such as those from the Portuguese community-based organisations in Gauteng. The results of these discussions are analysed in section 6.3 of this chapter.

Four participants (PCO-5, PCO-13, PCO-16 and PCO-17) advocated the establishment of an independent central community-based archive established by the community instead. These participants were in agreement as to why they thought such an option was preferable. They voiced similar views such as that this would ensure a direct connection between the records and the community, continued control over their records which they felt would be lost if these were transferred to a mainstream

institution, and the prospect that some community organisations would be reluctant to transfer their records to a mainstream organisation in the first place. However, the participants did acknowledge some obstacles that might prevent or challenge an independent initiative. These included a lack of committed individuals to drive it within the community, a lack of knowledge in the field of archives and records management, and a lack of funds. Nonetheless, these participants did feel that some of these obstacles could be overcome, for example, PCO-16 suggested that “... we can look for funds from wealthy community businessmen, community organisations, and the Portuguese government and the embassy.”

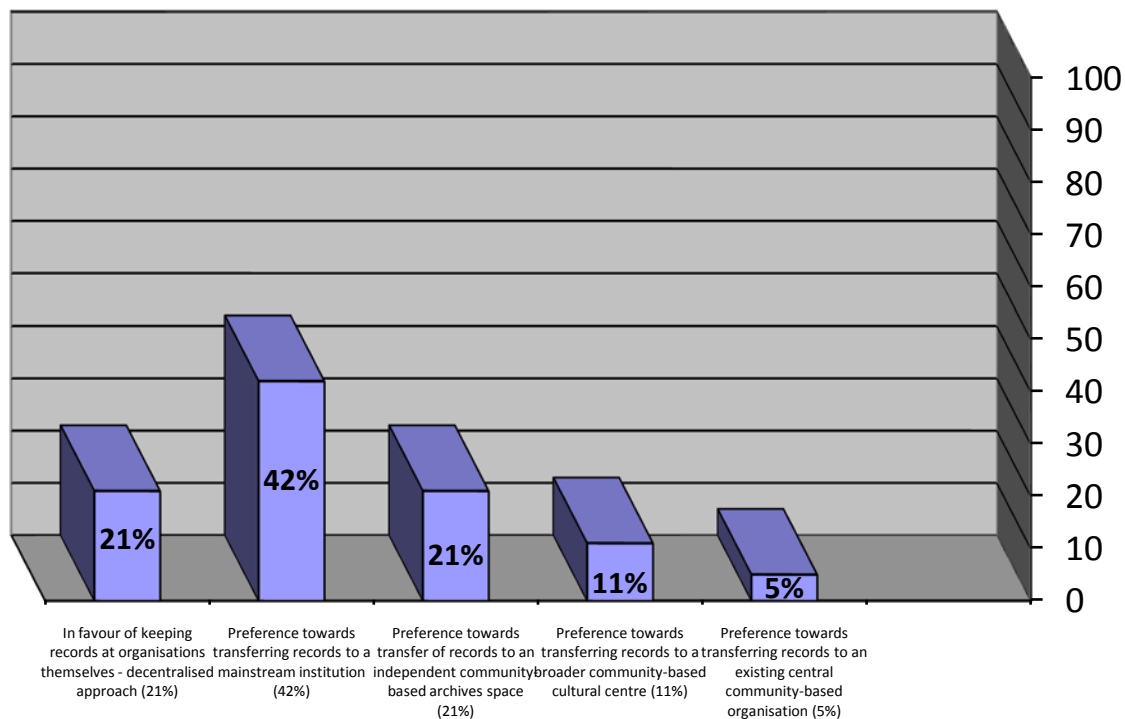
Two participants (PCO-11 and PCO-14) indicated as their choice of preference creating a broader community-based centre that would house not only the archives but also act as a cultural centre for the community, with facilities such as a museum, a language centre, a library and so on. For instance, one respondent (PCO-11) suggested creating a “*Casa de Portugal*” (“House of Portugal”) where the archives could be kept, a library, and a museum of the community. Again, these respondents acknowledged a number of hindrances that were similar to those mentioned by the respondents who favoured the formation of an independent community-based archive, such as a lack of commitment, a lack of the necessary skills, and a lack of resources and funds within the community. Moreover, one of these respondents admitted that he was also aware that “... maybe many of my suggestions are not realistic or practical ... maybe they are more of a ‘wish list’” (PCO-14).

One participant (PCO-9) did indicate – as its preferred option – using one of the existing community-based organisations, especially the existing Portuguese community-based coordinating organisation to act as central archival space (this was also pointed out by the said coordinating organisation itself, PCO-10, but not as a preferred choice). The participant (PCO-9) did explain why he favoured this approach, clarifying that he felt that some organisations would be hesitant or unwilling to transfer their records to a mainstream organisation, and that using an existing organisation would reduce costs, and so on. However, a number of reservations were also conceded by the respondent. The major concern was that other organisations might not agree to transfer their records

to an existing community organisation because they would feel that that organisation was receiving some sort of favouritism. As possible obstacles to this approach, issues of confidentiality, political infighting and mistrust between these organisations were brought up yet again – this time by the said respondent.

It should be highlighted here that nine of the participants (63%) indicated a second or third option in addition to their first or preferred choice. They granted that, if their first choice was not really possible, they would not be against another approach. For instance, one respondent explained that, in view of the obstacles that may be encountered in establishing an independent community-based archive, “I am also open to the idea of transferring our records to an outside organisation, such as a university for safekeeping ... as long as we find a way to preserve our heritage” (PCO-18).

Chart 6.13 shows these preferred choices more clearly:



**Chart 6.13: Participants’ choices of possible spaces to house their potential archival records**

In addition, participants suggested other places where they felt these records could possibly be housed. These were the Portuguese embassy in South Africa (PCO-1 and PCO-3) and perhaps a Portuguese studies department within a university (PCO-3). These possible spaces were also observed in chapter four, which analysed existing initiatives to document the under-documented, and revealed a number of these that have transferred their records to entities that have some sort of association or interest in the community, such as Portuguese language or history departments within universities.

A final comment on this research question: respondents were also asked whether they would prefer it if the person(s) managing any proposed central archival collections were a community member. Participants were not in total agreement on this matter. Most (79%) did however feel that it should be, because many documents are produced in Portuguese. The remaining respondents did, however, suggest that, if it were a non-community member who was fully fluent in Portuguese, they would have no objections. Most respondents also placed equal emphasis on the point that any person(s) responsible for managing and preserving these records should have the necessary skills – an individual(s) with some sort of training in archives and records management.

To finish, it is vital to take cognisance of the fact that all participants were in agreement that whatever the approach – a decentralised approach, a central mainstream or a community-based strategy – the need for a driving force to take charge of any such proposed community archiving effort needs to be reiterated, explaining that, without a person or group of people that take responsibility to initiate and sustain such an endeavour, it will ultimately not succeed. Indeed, for ultimate success, the need for collaboration on such an initiative was not negotiable. They explained that the community organisations would have to cooperate with one another. They would also have to join forces with other stakeholders such as mainstream institutions, not only for possibly housing their records, but also for archives and records management advice, support and training. Equally, community organisations would have to cooperate by giving their input and assisting whoever eventually drives the initiative.

### **6.2.7 Additional comments from participants regarding any proposed archival collecting initiative of the community's organisational records**

Finally, participants were requested to provide any further comments and suggestions that might contribute to any such archival collecting efforts. The interviewer asked some guiding questions on this matter, including questions regarding the use of the Internet, marketing, and possible sources of financial and other support. At the end of the interview, the interviewer posed an open-ended question to the participants, encouraging them to provide any other information they would like to share.

As regards ICTs and the Internet, participants were asked how they thought these could be used to enhance such an endeavour. Participants made a few suggestions but, in general, most could not spontaneously think of any applications. The following suggestions were made by those who did offer ideas: the Internet could act as a central gateway to the archival records of these organisations (PCO-8, PCO-12, PCO-15 and PCO-18). One of these respondents proposed that “the type of records kept by the various organisations and their locations could be provided on this central Internet webpage” (PCO-15). This idea was equally suggested by respondents who favoured both a centralised and a decentralised archival collecting approach, since such a site could enhance both types of collecting efforts by making these more visible and accessible to researchers. Digitisation of their records and making these digitised records available on the Internet was also mentioned by three respondents. These respondents cited the digitising of photographs and older records dating back to when their organisations were established. This is in line with the literature reviewed in chapter three (section 3.3.1.8), which also recognised the new opportunities for documenting the under-documented, community archiving and related practices that ICTs and the Internet may offer.

Participants were then asked if they had any suggestions about how best to eventually promote these potential archival records so that they can be used by researchers within and beyond the community. Just under half (9 = 47%) of the 19 respondents favoured the use of community media, such as the Portuguese community newspapers. Four respondents also thought the community organisations themselves could be used as a way of promoting these collections, where talks and presentations could be featured at

their community events, to alert the community to any proposed collections. Only two respondents (PCO-10 and PCO-16) thought of promoting these collections through mainstream media – not only to the community itself but also to other potential researchers beyond the community. In addition, five respondents suggested using the Internet as a marketing tool.

Participants were also invited to propose likely sources of financial assistance or any other forms of support for such an initiative that might be brought to mind. In terms of seeking support to fund any such efforts, a number (7 = 37%) of the 19 respondents suggested the Portuguese community organisations themselves (not necessarily their own organisation). They also thought that it would be a good idea to organise fundraising events through these organisations specifically to raise funds for any proposed archival collecting effort. Five respondents mentioned seeking financial support from community individuals, especially wealthy community members, while an equal number also recommended approaching the Portuguese government through the Portuguese embassy in South Africa. One respondent (PCO-10) also made a valid remark that the extent of financial support needed would depend on whether the community took full responsibility for the initiative or not. He elaborated by explaining that, for instance, an independent community-based archive would need to look for greater support than one that is initiated and maintained by a mainstream institution on behalf of the community, for example, universities which often have their own funds for community outreach projects.

In addition to financial support, participants were also invited to offer any ideas on individuals, organisations or institutions (other than their own community organisations) that might be willing to be involved or to support the initiative in any other way, such as serving on an advisory board or being part of a steering committee. A number of respondents (5 = 26%) suggested inviting young South African Portuguese individuals who might not be actively involved in any community organisations, to form part of any proposed advisory body. They explained that this move would elicit different or fresh ideas and input on any community archives collecting effort. Three respondents also mentioned involving ‘important community individuals’, such as people involved in

politics and business. These respondents contended that this would be an important form of networking which might facilitate the implementation of any initiative further down the line. The Portuguese government and embassy representatives were also mentioned by three respondents as being possible contacts that should be involved – not only for potential funds – but also for other forms of support such as encouraging the community to back the initiative and receiving their endorsement, which might help to give any such initiative further legitimacy within the community. One respondent (PCO-15) suggested trying to form partnerships with institutions that might have an interest in the history of the community, including collaborating with history departments at universities in South Africa and Portugal.

In the last part of the interview participants were urged to provide any additional thoughts on the topic. Most respondents gave general closing comments such as “I really think this is a very good idea” (PCO-1), and “As I said earlier this is something that should have been looked at a long time ago ... we need to preserve our history” (PCO-17). One respondent (PCO-3) made more specific comments, recommending the additional need to embark on projects that include not only community-based organisational records, but also “collecting records of Portuguese people in South Africa and their families”, and even conducting oral interview recordings to capture especially the stories of the older generation. This suggestion was also reiterated by a number (6 = 32%) of other participants. However, four of these mentioned only important people, as an example of individuals who need to be documented, such as those who have been successful business people or those in politics and other individuals who are well known in the community. Nonetheless, there were also two respondents (PCO-11 and PCO-18) who acknowledged the need to incorporate the stories of everyday people and everyday life, such as telling the stories of the hardships their parents and grandparents endured when they initially immigrated to South Africa.

### **6.3 Analysis of the interviews held with the National Archives and Records Services of South Africa and the archives/special collections departments of three South African universities in Gauteng**

As noted in chapter five (section 5.4.6), in addition to the interviews conducted with the Portuguese community-based organisations, unstructured interviews were also held with the National Archivist of South Africa (face-to-face contact), and four South African universities in Gauteng (telephone discussions). Unstructured interviews are often used in the course of research to gain additional information on the issue at hand.

In section 6.2.6 of this chapter, concerning the custody preferences of the community-based organisations and their record-housing preferences, it was noted that a number of these organisations indicated their willingness to transfer their records to a mainstream institution in South Africa. Since the National Archives is the main role player in the South African archival heritage field, and since a number of respondents indicated that they would consider transferring their records to a mainstream institution such as a university, the researcher deemed it necessary to obtain views on this issue from the side of these institutions. The archives or special collections departments of the South African universities interviewed were those of the University of Johannesburg (UJ), the University of Pretoria (UP), the University of South Africa (UNISA), and the University of the Witwatersrand (WITS).

The director of the National Archives and the directors of the archives or special collections departments of these South African universities were asked to give their opinions and perspectives on:

- whether they were willing or able to accommodate the records of these community-based organisations;
- if they were prepared to offer archives and records management assistance to these organisations; and
- whether they would consider any form of collecting partnerships and collaboration with these creators of community archival materials.



The findings of the interview with the National Archivist revealed that, although the new National Archives Act of South Africa (South Africa, 1996b) supports the acquisition of non-public records, they would prefer not to acquire these records for reasons similar to those reported in the literature, such as a lack of staff capacity, a lack of time, a lack of space, and a backlog in processing existing archival records in their collections. The National Archivist also explained that the National Archives prefers a decentralised distributed approach towards non-public organisational records, where the records are kept with the organisations that create the records, but where the National Archives collaborates with these organisations by offering them any form of advice on caring for their records and their potential archives (if or when approached by them).

In contrast, the archives or special collections departments of the South African universities contacted, indicated that they were willing to receive these records as full donations or as physical custody transfers. The directors of these departments explained however, that these materials would be appraised and only the records they deemed significant would be acquired. They explained that major topical themes necessary for a comprehensive documentation of the community would guide their selection. Therefore, records that were not considered to have potential research or archival value would be returned to the creating community organisations. These universities also explained that they were willing to provide these community-based organisations with archives and records management support and advice, regardless of whether they had acquired their records or not. They were also supportive of forming partnerships and collaborating with these community organisations in order to facilitate any such archiving effort.

These universities did however indicate that they would not proactively seek to initiate such a collecting effort or actively seek out the records of these community organisations, and suggested that the organisations themselves would need to make the first contact with them “to get the ball rolling”. Also, due to a lack of time and resources on their part to do so, the universities preferred such an endeavour to be driven by the community organisations and their members and by the need for contacts

and networking within community structures – knowledge of which they felt they did not have.

The willingness (or unwillingness) of these South African mainstream archives and heritage institutions to accommodate the records of this community (or any similar community for that matter) needs further exploration and would entail in-depth empirical investigations of these mainstream institutions. Since this was not, however, the purpose of this study, it constitutes an area of investigation for a future research project.

#### **6.4 Summary of chapter six**

In this chapter the results of the study gathered by means of the semi-structured interviews with the selected Portuguese community-based organisations in Gauteng, and supported by the literature reviewed and the website content examined, were presented and analysed, using a content data analysis framework (both thematic and semantic). The main themes and trends in the data were discussed with reference to the research objectives and the research questions outlined in sections 1.6.1 and 1.6.2 of chapter one. In addition, preliminary findings on the willingness of mainstream institutions to accommodate these community records were presented.

The data presented in this chapter provided the foundation for the interpretation and the discussion of the analysed findings that follows in the next chapter. The next chapter (chapter seven) therefore interprets and discusses the results of the study. The interpretation of the results were also structured into – and guided by – the research objectives of the study and the key themes that emerged, with the aim of facilitating discussion.

## CHAPTER SEVEN: DATA INTERPRETATION AND DISCUSSION

### 7.1 Introduction

In the previous chapter the results of the study gathered by means of the semi-structured interviews with the selected South African Portuguese community-based organisations in Gauteng, unstructured interviews with selected mainstream institutions, and supported by the literature reviewed and the website content examined, were presented and analysed, using a content data analysis framework. The data presented and analysed in that chapter provided the foundation for the interpretation and the discussion of the findings that follows in this chapter.

Taylor-Powell and Renner (2003:5) state that, when interpreting qualitative data, it is often easy to be sidetracked by the details and rich descriptions entailed in analysing qualitative data. For that reason, one needs to “bring it all together” by asking “What does it all mean?” and “What is really important?”. “This is what we call interpreting data – attaching meaning and significance to the analysis” (Taylor-Powell & Renner, 2003:5). To be interesting and useful for social inquiry, data must be interpreted. Data seldom speaks for itself and the researcher has to ask, “What are these data telling me?” In addition, findings cannot simply be presented without synthesising them and tapping into their meaning. Therefore, the results of the data – presented and analysed in the previous chapter six – are interpreted and discussed in this chapter so as to reveal their meaning and their implications.

Interpretation took place by synthesising the findings across the multiple data sources and around the theoretical context of the study. Therefore, the interpretation and discussion of the findings are directly or indirectly related to the theoretical framework of the study, to the literature reviewed and the websites analysed in chapters three and four respectively, and to the organisational documents and the set of transcripts and field notes from the interviews in chapter six. The major findings of the results are interpreted in the subsequent sections in line with research objectives three, four, five, six, seven and eight of this study. In addition, according to Taylor-Powell and Renner

(2003:2), it is often recommended that interpreting one's data should be done by illustrating the key themes that emerged during analysis in order to demonstrate any relationships between the results and any trends that may have emerged. These writers report that identifying major themes is at the crux of qualitative analysis and interpretation.

Bazeley (2009:8-9) explains that these themes may include preconceived or "a priori themes" that are similar to those in the literature and have therefore already been anticipated – as long as they are recognised and declared as such – or, they can also be new themes that have not been identified or anticipated from the literature reviewed and were thus added as they became apparent. Therefore, the interpretation and discussion of the major findings in the subsequent sections are structured into, and guided by, the research objectives for this study. Any key themes raised by the interviews, the literature review and the website content analysis, are highlighted in the interpretation of each research objective, that is where applicable, themes that were identified from the analysed findings in chapter six are integrated into the interpretation of the results around each research objective of the study.

## **7.2 General information about the South African Portuguese community-based organisations in Gauteng**

Communities, such as immigrant and ethnic groups, per se, do not generate archives. Community members and the organisations they may form for themselves to promote some ends considered to be in the interest of the members of the group, are the ones that actually generate the records which potentially form the archival heritage of the community (Lu, 1993:4). These organisations often create records in the course of their work that may have long-term historical value. Therefore, this first section interprets the findings presented in section 6.2.2 of this study which examined the research objective of understanding the history, nature, purpose and activities of these organisations. An understanding of these organisations is crucial in order to identify and preserve their potential archival records. The nature and circumstances of these organisations may also have an impact on the custody possibilities for their records. In short, by putting the

records creators and their environment first in an investigation to develop an archiving framework for the community, the most appropriate strategies for collecting and safeguarding their records become more evident and attainable.

According to the participants, organisational websites, and organisational publications, it became evident that most of these organisations have been in existence for a long period – an average of 33 years – and that their establishment is closely linked to the immigration patterns of the Portuguese to South Africa. The longevity of these organisations up to now also confirmed that these may hold potential archival records that go as far back as to when the earliest was formed, more than seventy years ago. This long history suggests that these may have records that are valuable not only to the organisations, but also to the community and to researchers in general. The results also indicated, although not entirely consistently, that the age of the organisation seemed to forecast whether or not the organisation cares for its own records in a more systematic way, with the newer ones less likely to do so. Similarly, the size of the organisation was also a minor indicator, where the larger organisations – with more volunteers and/or staff, et cetera – were more likely to be involved in recordkeeping practices, albeit rudimentary.

The participants also revealed that these organisations (except for one that is a private community-focused organisation) were community-based non-profit organisations (registered or not), run by a director, president, or chairperson. Each organisation was essentially run on a voluntary basis and was created to serve a specific cause, the interests of its members or beneficiaries and to further the aims of its donors. The profit motive was absent although they still needed to be accountable to their stakeholders. Mulwa (2003:205) also notes that community-based organisations are usually non-profit organisations which can be either formal or non-formal. She goes on to say though, that, “In either case, the process of CBO formation should be voluntary, and genuine, borne out of self-determination by the members to work together”. She refers to the process of the development of these organisations as organic “that spells out their spontaneous and natural evolution” (Mulwa, 2003:205).

The interviews also shed light on the research questions pertaining to the purpose and activities of these organisations. All these organisations were created to serve a specific cause, the interests of its members and beneficiaries. The purpose was that of providing community members with a range of services and activities, the focus of which depended on the type of organisation. It was found that most of the organisations offered sports activities including roller hockey tournaments, basketball, golf days and soccer clubs. A large number also held social, religious and recreational events such as game evenings, lunches, festivals and religious holiday celebrations. A number also offered cultural and educational activities such as folk dances and language-maintenance courses.

There were also a few that had as their main focus charity and social welfare involvement, especially towards the disabled and elderly in the community. To a lesser extent, there were organisations that were involved in support services like groups for women and the youth and other services such as trauma counselling for community members. Lastly, a small number of organisations had as their mission to provide community information to their members. The results also showed that there was cooperation between these organisations, such as coordinating events, some even being interwoven through overlapping staffing/volunteers and membership. However, although there is cooperation, in general the organisations often operated independently of one another, frequently competing with each other or even disregarding one another due to regional differences and political infighting.

The diverse range of services and activities these organisations provided supports the presupposition that they may hold potential archival records reflecting not only the history of the organisations themselves, but equally so the daily lives of community individuals as lived through these organisations at events, festivals, social gatherings, sporting occasions and so on. Lu (1993:4) comes to the same understanding by stating that the records generated by these community organisations and the heritage these may contain may be considered as one of the “subjects of human endeavour” suitable or worthy of archival attention.

In addition, a theme that emerged during the interviews was the opinion held by most participants that many of these organisations might cease to exist in the near future. It became clear that the majority of these organisations, although well established, were facing real challenges, even possible closure due to falling membership and decreased community participation, and the associated financial. Participants cited various reasons, but especially membership problems due to the number of organisations representing the community, and having divergent interests, such as regional distinctions. Integration of the Portuguese younger generation into the broader South African society was reported as the main reason though.

Mulwa (2003:205-207) also highlights the difficulties community-based organisations often face, that may even lead to their “premature collapse”. She explains that “community-based organisations are voluntary associations where people organise together in order to mobilise the potential of their collective power ... the common characteristic is that members come together to work for a common goal” (Mulwa, 2003:204). However, precisely because these organisations are managed and owned by the members themselves, this can often lead to instability or even their collapse. A lack of unity of purpose on the part of the members, membership problems, and the consequent financial implications of these setbacks can easily result in the demise of a community-based organisation. This situation may have varied consequences that are of concern to this study. Firstly, the possible closure of these organisations makes the need to investigate and initiate the safeguarding of these records more urgent. As some of these close down, the means of contacting already defunct entities to explore the possible inclusion of their records in an archiving effort of the community will be more arduous, if not impossible at times, especially if some of these decide to discard their records as they shut their doors.

Another consequence mentioned earlier in this chapter relates to the research objective regarding the custody of these records (section 7.6). As these non-profit community organisations become more unstable and face possible closure, this impacts on the custody possibilities and preferences for their potential archival records. This was emphasised time after time by a number of the participants themselves who explained

that, due to the instability of their organisations, they would rather transfer their records to a mainstream institution which is more secure and can consequently care for their records in the long term.

As a final comment on the above point, Keough (2002:249) also notes that, as a result of the general vulnerability of non-profit organisations, these frequently simply lack the resources, time and staff needed to establish and maintain an archives and records management programme. Consequently, some of the most endangered records are those created by these organisations. Over and above that, McDonald (2008:21) argues that frequent reorganisations, mergers, redefinitions of mission statements, staff and volunteer turnovers also contribute to inefficient archives and records management and even loss of significant volumes of records at these types of organisations.

### **7.3 Information about the records produced and held by these organisations**

In this section the collected data relating to the records generated by the Portuguese community-based organisations being investigated were interpreted. In their guide to documenting Hispanic groups in the United States, the New York State Archives (2002:5) declares that community-based organisations often create records that show important aspects of community history and cultural life. They go on to say that these records may include correspondence, reports, photographs and other materials, some of which may need to be saved – even after the organisation feels it no longer needs them for its own administrative purposes – so as to preserve the history of the community which might have been ignored or omitted from existing archives and heritage collections.

Interpretation of the findings indicated that all the community-based organisations in this study generate records that go back to as far as to when these were established. Their records tended to be kept on the organisations' premises. These included administrative records of their daily activities and records which reflected the events, functions, programmes and other occasions these organisations were involved in, together with community members. These types of records were differentiated (administrative as opposed to documentation of events and so on), because records that are created to



capture the events and other occasions organised by these organisations may contain richer information of the daily life of community members. These would consequently be more likely to hold content that may contribute to an archival record of the community and thus play an essential part in documenting its contemporary social history, memories and experiences (Lu, 1993; McDonald, 2008; Flinn, 2011; UCL, 2013).

Interviewees cited a diverse range of records that their organisations produce, inter alia, organisational constitutions, rules and regulations, statutes, circulars, contracts, correspondence, reports, membership records, files for committee/board members, policy documents, minutes of meetings, financial records, invitation to events, event programmes, photographs, video recordings of events, community newspapers and magazines, congress and conference reports, pamphlets, newsletters and journals, certificates of awards, newspaper clippings, digitised (scanned photos, etc.) records, electronic records (word-processing documents, financial Excel records, emails, etc.), online newspaper issues, and website content (organisational websites and web pages). Observations also revealed that these organisations hold a fair number of records, ranging from a few cabinets to a couple of rooms with records.

The rich diversity of this documentation confirmed what the literature review (chapter three) and the website content analysis of institutions involved in community archival collecting efforts (chapter four) showed, that is, that the materials produced by these community-based organisations are often wide-ranging and may act as an important potential source for an archival record of an under-documented community. Although these records are not created for the purposes of recording history, they can be used as sources of evidence and information about past actions and events. The significance of these diverse records is confirmed by authors such as Lu, (1993), Harris (2002), Wheaton (2006), Church (2008), and Flinn (2010) who explain that these alternative archival records found in community structures often serve as a vital resource for the social history of these communities. These records may contain otherwise hidden narratives that trace the stories of the community and its members, present and past, distant or more recent. They may hold information about the community's shared experiences or ways of looking at the environment around them. They may also give

rise to research, educational and other social initiatives that may engage the wider community.

In addition, the New York State Archives and Records Administration (1996) articulate the significance of these records persuasively: “Every community has historically valuable nongovernmental records which include information on the development of the community, its institutions and its people. Too often in the past, such records have been lost because there were no organized programs to identify, collect, preserve and make them available for research”. They elaborate by saying that these records often include content that may contain significant information about the past and are therefore worthy of long-term preservation and systematic management for historical and other research. They may have been produced by private community individuals or community organisations and can include diaries, journals, ledgers, minutes, photographs, maps, blueprints, deeds, contracts, memoranda, and other material and they may exist in paper, parchment, magnetic tape, film or any other medium (New York State Archives and Records Administration, 1996).

Finally, what regularly emerged from the interviews – as regards the materials held by these organisations – was that more than half of the respondents indicated that they also possessed artefacts and/or library materials. These participants therefore felt that any archival space for the community should ideally house both a museum and a library collection. This was also observed in the literature surveyed in chapter three and in the analysis of the institutions that are involved in existing community archiving initiatives in chapter four. For instance, the Hellenic Museum and Cultural Center in the United States houses museum objects, library materials and archival records of the Greek community in Chicago (chapter four, section 4.2.1.6).

#### **7.4 The recordkeeping practices of these organisations**

Newman (2011:98) states that sound archives and recordkeeping practices are linked to the sustainability of a collecting initiative of a community. She elaborates that these practices “... directly impact on the physical integrity and evidentiality of the records and, therefore, their ability to fulfil their role in collective memory”.

The interpretation of the results revealed that the keeping of records by these organisations is predominantly performed for administrative purposes. However, in general, the interviews also revealed that the recordkeeping practices of these organisations were performed inadequately. Regarding the preservation of these materials, most organisations kept their records in their working office space. Even those that kept their records in a dedicated records room, stored these in conditions that were neither appropriate for holding current records nor preserving any records for the long term. There were no environmental controls, such as temperature and humidity controls, and filing equipment such as storage boxes and folders were not records-friendly, lacking any concerns about acid-free containers and so on. Loose files and documents piled on shelves, tables and on the floor – in no particular order – were also observed. Some records were even kept in boxes at the houses of ex-directors. Newman (2011:95-98) in her study of community archives, also states that often community records are not kept in an adequate premises or space, and that they are not cared for with the correct facilities, equipment and supplies to ensure their preservation.

Apart from their paper-based records, these organisations' electronic recordkeeping practices were found to be even more deficient. For instance, although the organisations had current organisational websites, none of them kept documentation of older versions of their website content – a troublesome oversight. Interpretation of these results indicates that these organisations have simply neither thought about archiving this content nor found a satisfactory way to preserve their digital content. McDonald (2008:55), in her study on documenting under-documented activists' organisations, also mentions this situation, and acknowledges that this topic is one that would particularly benefit from collaboration between community and the formal archives and records management sector, suggesting that, "This is one area in particular where archivists could be of service".

Newman (2011:95) underscores the point that, for community records to be usable, they need to be organised in terms of professional standards and that the system of tools to locate records such as file plans and finding aids should enable efficient retrieval. The

results, however, revealed that these organisations did not have any formal file plan or classification scheme, while only a few reported having a basic filing system according to subject and date. In addition, most respondents explained that they had no tools to assist them with locating their records (finding aids). Most cabinets, boxes and folders were, however, labelled and, when retrieving documents, searchers would browse through these until they found what they were looking for. There was a small number of respondents who indicated that they have a basic paper-based subject list of records and files. All participants revealed that their older records are transferred to boxes, often piled into these without proper labelling.

Individuals with knowledge of archives and records practices are essential to maintain and preserve the integrity of records so that they retain their evidential and potential archival values. To ensure that these records are available for current and future generations, a basic level of archives and records management skills and knowledge is required (Newman, 2011:97). The findings, on the other hand, showed that most of the organisations do not have a dedicated person to do their recordkeeping, including basic activities such as filing. These tend to be performed by the directors/chairpersons and other staff or volunteers themselves as they work on the documents they create. The administrative staff/volunteers who did carry out recordkeeping functions as part of their job descriptions for a small number of organisations, had no training in archives or records management practices. The researcher also found that these organisations had never sought outside help to manage their records. However, participants indicated that they had not been aware of any such possible support, and if there are establishments that are willing to offer such assistance, they would be open to it.

Lu (1993:82-88) and Newman (2011:95) both emphasise the importance of sound appraisal and disposal practices, stating that the selection of these records should be guided by appropriate appraisal methodology. They explain that an active role is played in constructing memory through selecting records. Therefore these practices need to be performed cautiously. These authors, while acknowledging the importance of these procedures, regretted that very often appraisal and disposal are not carried out in a methodical or orderly manner by community organisations. The interviewer similarly

learned that records appraisal and disposal practices at the Portuguese community-based organisations in Gauteng were generally unsatisfactory as well. The first theme to emerge was that these records are not appraised and disposed of systematically. Decisions on what to keep and what to throw away were not based on any guidelines or done in a purposeful manner. Instead, records were either discarded or kept for long periods or indefinitely either because of circumstances or by chance, that is, the factors affecting keeping or discarding records were not based on appraisal and disposal practices. They were based on other factors. For instance, they might be disposed of in the process of an organisation's moving premises, during a merger of organisations, during a changeover of directors, or through simple neglect or a lack of skills.

Another tendency was for records to become inaccessible or to be forgotten about after their immediate value had expired, due to ineffective finding aids, inadequate storage, a lack of interest, and so on. Lu (1993), Singer (1997), Flinn (2007), Van Wingen and Bass (2008), and Josias (2011), also argue that community organisations are often unaware of the rich and diverse nature of the records they produce and possess, and the potential stories these may hold. As result of this lack of awareness and often ignorance of under-documented communities concerning the significance of archives and the potential value of their community records, these organisations do not always appreciate the importance of efficient appraisal and disposal practices to safeguard these records.

Legislation and NPO requirements however constrained these organisations to purposely keep financial and legal records. Yet again, rather than these decisions being based on a proper disposal schedule, it was taken for granted that many records were kept indefinitely by default, being placed in boxes after their administrative uses had ended, and simply left there. In addition, any decisions that were taken to either keep or discard records were not made by individuals with the correct training or skills, but very often made by the directors/chairpersons themselves.

The findings also revealed that these records are predominantly consulted to assist in the daily operations of these organisations, such as for administrative and auditing

purposes, day-to-day decision making and so on. The majority of the organisations also stated that they would be open to making their records available for public consultation, especially their older records – although this was more because they often saw little value in these and therefore did not mind their being accessed by outside users. A number did however argue that it would depend on what purposes these were being consulted for and which type of records, for instance, legal contracts and financial records should be kept confidential.

Conversely, although participants were willing to make their records available to the public, the results showed that many found it difficult to articulate what these records could be used for other than for internal administrative purposes. As was noted at the beginning of this section, and as an a priori theme that also emerged in the literature reviewed in chapter three, the keeping of records by community organisations is predominantly performed for administrative uses, that is, they keep their records for their own needs. To these organisations this implies that their records are not consciously preserved for any research purposes, such as keeping the history of the organisation or the history of the community and its members. Because these organisations perceive their records as only having administrative value, they have never felt the need to deliberately keep these for researchers, historians and the like. This corroborates and repeats the findings in the literature surveyed in chapter three, that frequently these community organisations only perceive an immediate administrative purpose for their records (Flinn, Stevens and Shepherd; 2009). Lu (1993:84) also highlights this in his study concerning the Chinese community in Canada, by explaining that community organisations tend to assume that their records have no use to others, and no one else is interested in their records.

There were, however, a small number of respondents that have had their records used for other purposes, especially by outside researchers who had approached these organisations to study their records for information on the history of the Portuguese community in South Africa.

## **7.5 The willingness of these organisations to support and contribute towards an archives collecting initiative of the community**

In principle, all the organisations supported such an initiative. The results showed that the participants from the organisations felt that any attempt to bring about an archival collecting initiative by the Portuguese in South Africa was a good idea and would be welcomed by the community. They also believed that such an initiative would be valuable and a positive contribution to a broader audience as it would not only assist in preserving and conveying the history and experiences of the Portuguese community to its own people, but it would also make other South Africans aware of the community and the role these people have played in this country. The significance of community archives collections is also recognised by authors such as Lu (1993), Singer (1997), McDonald (2008), Flinn (2010) and Newman (2011). These writers reason that the records of these communities preserve an account of the community's past and often build on this to create awareness, interest and activity in broader society. In addition, they promote historic narratives that would otherwise be lost. It should also be noted that, although many participants only recognised the value of sourcing records from their organisations that document important individuals within the community, there were a number who also acknowledged the need to keep those records that reflected the day-to-day experiences and community life accounts of ordinary community members. This result resonates with the postmodern debate about the under-documented and the social history trends that have emerged in the archival field reported in the literature (chapter three, section 3.2.1).

The interview findings also illustrated that apart from being sympathetic to the idea of a communal archival collecting effort, in general, most of these organisations would also be willing to support and be involved in such an initiative in one way or another. A common thread throughout the conversations with the participants revealed that they would be willing to serve on any consultative body that gives advice and offers assistance on community archiving matters. This consisted of, amongst others, guidance on sourcing potential archival records, guidance on the context of these records and their meaning within the community, offering information about the

community and its structures, offering possible networking contacts, raising awareness about the project to community members, and sourcing financial and other forms of support from the community.

These results confirm an a priori theme that emerged in the literature reviewed in chapter three and in the website content analysis of institutions in chapter four, that of the importance of ongoing input, collaboration and participation of the community. For instance, Samuels (1986:116) in her 'documentation strategy' highlights the importance of the activity of selecting advisors, that is, seeking participation and collaboration between the community and the entity responsible for the archival collecting effort through advisory committees. Contributions and advice from community organisations and members should therefore include all forms of participatory involvement in all archiving matters of a community. Newman (2011:99) also underlines the significance of community involvement and engagement, explaining that it is essential to the sustainability of a community collecting effort, both for understanding and nurturing the source of the records collected and for enabling them to fulfil their purpose of maintaining and providing access to their collective memory. She points out that volunteer involvement of the community, including advisory committees or a 'friends of the archives' group is "... a powerful means of connecting with the community and building support". The results also illustrated that community participation in, for instance, advisory bodies, should ideally mirror as far as possible the different sectors of the community to ensure representative and diverse contributions.

Most participants did however report that, due to other commitments, they would not consider a more active involvement such as leading, steering or coordinating such an initiative. They also felt that they might not have the right skills, such as the necessary archives and records management skills or knowledge of historiography, to take on such a role. It should be noted that although the participants were not willing to drive such an initiative themselves, they did point out the need for a person or a group of people to take charge of such an endeavour for it to take off and succeed. This theme was also brought up in the literature reviewed (chapter three, section 3.3.1.5), where authors referred to this phenomenon as 'archival activism', saying that the success of



community archiving efforts often depend on the enthusiasm of a few individuals to actively seek out and collect documents outside the mainstream. What drives these individuals and groups is not typically historical curiosity alone. Rather, the work of documenting hidden and marginalised histories is more of a political act. Central to this politics is a vision of full equality, brought about by reworking or supplementing dominant narratives (Flinn, 2011). Newman (2011:100) similarly acknowledges that community archiving initiatives often continue to exist only because of the passion and dedication of one or two individuals and they often rely on the personal commitment and even unpaid work of volunteers.

It was also ascertained that most of the organisations would not be in the position to provide any sort of financial support for any such initiative, especially as non-profit organisations that find it difficult to make ends meet. Additionally, the majority indicated that a physical space to house any proposed central community archives collection would be difficult to provide, mainly due to the lack of available space on their premises. Another concern about providing space was that of infighting between these organisations, with certain organisations refusing to consider transferring their records to other existing community organisations – hence the feeling that it might be healthier to avoid such a situation arising in the first place.

A general trend that emerged is that all the organisations – except one – were willing to contribute, in one way or another, their potential archival records (those that were no longer needed on their premises for administrative purposes) to any prospective archiving initiative. Even the one participant who was not agreeable explained that his organisation would be willing to make its records part of a central register or finding aid that could direct potential users to their records at their own premises.

However, the predisposition of these participants to making their potential archival records or part thereof, available to such an initiative did raise some concerns and conditions. These included types of records for inclusion, such as: restrictions on confidential records; the wellbeing of their records – that the records have to be transferred to an institution that is reputable, which has people with the right skills and

commitment, and who are dedicated to preserving and caring for their records; sustainability of the entity that takes on the initiative – records should only be transferred or kept by an entity that has the funds and infrastructure to maintain such an initiative in the long term. McDonald (2008:62) similarly highlights the factors that might influence an organisation's willingness to contribute its records and to whom. Besides the factors just mentioned, McDonald suggests that the extent to which the entity responsible for the collecting initiative will promote the use of the organisation's records to researchers and visitors, and the amount of public programming and public outreach the entity is prepared to do, may also impact on its choices to contribute its records.

In addition, participants indicated that their willingness to contribute their records would be dependent on their ongoing community input and involvement – that is, their records would only be considered for such an initiative if their continued participation in the archiving effort was encouraged and ensured through collaboration and partnerships. This latter stipulation was also observed in the literature reviewed in chapter three (section 3.3.1.4). For instance, Shilton and Srinivasan (2007) argue that to create an archive that is truly representative of a community, the process needs to be a cooperation between creator community (organisations and individuals) and any other entity that might be involved in the collecting effort of the community. They go on to say that “participation from experts: the community members responsible for records creation” is crucial (Shilton and Srinivasan, 2007:93). The authors point out that participation should be that of a comprehensive ‘participatory archiving’, which includes community participation in activities such as appraisal, arrangement and description, and that advisory bodies – as was observed earlier on in this section – should be established to facilitate this process of collaboration between the community and the entity responsible for the archival collecting effort.

Finally, the participants also argued that their attitudes towards contributing their records would also be influenced by the custody approach adopted and where these records would be housed. This brings us to the interpretation and discussion of the next research objective, that of understanding the organisations' preferences towards the custody of their potential archival records.

## **7.6 The organisations' preferences regarding custody of their potential archival records**

This research objective made an effort to uncover the participants' attitudes towards the custody of their potential archival records and where these organisations would prefer to house their potential archival records (that is, towards those records that had no immediate administrative use and thus no longer needed to be located with these organisations for daily consultation). The literature reviewed in chapter three revealed that community records often present community individuals or organisations that hold these records with a dilemma regarding who might take custody of their potential archival records if they do decide to participate in an archival collecting effort of their community (Bastian, 2002; Wurl, 2005; Jimerson, 2006). Lu (1993:1) also recognises the idea that the preferences or attitudes of the creators of records (such as community organisations) towards the custody of these are significant and have long been recognised, not only with regard to community records from immigrant groups and so on, but also in relation to records of individuals, families and organisations in general. Factors that might impact on these preferences and decisions regarding custody include personal preferences, political affiliations, financial circumstances, loyalties and issues of trust, amongst many others.

These authors also showed that archival custody options come in different forms, consisting of traditional approaches to custody of physical and legal transfer of ownership (involving instances of complete physical and legal transfer of custody of records to a central archives entity), to alternative methods often referred to as post-custodial and the stewardship approaches. The latter may include transfer only (the process of changing the physical custody of archival records, generally without changing the legal title of the material), some sort of collaborative approach such as a distributed management style (for example, control – such as archival management functions – is transferred to a central archival entity, but physical and legal custody is still held by the entity that created the records), or collections held and managed primarily within the community – outside the formal heritage or archival sector – but with

collaboration between the community group and archives and records management professionals.

The study found that none of the informants were in favour of the traditional approach to custody, that is, both physical and legal transfer of ownership of their records. They felt that the records belonged to them and they refused to consider renouncing ownership of these. This is in line with the literature reviewed in chapter three (sections 3.3.1.3 and 3.3.1.7), which revealed that communities often have a strong sense of ownership towards their records and see these as being part of, or belonging to, the community. This is emphasised by authors such as Bastian (2002), Wurl (2005), and Flinn (2010) who argue that these communities and the organisations that represent them, prefer to keep direct ownership of their records and strongly feel that these records belong to them, their organisations, their members and their communities, preferring therefore not to relinquish their rights to them.

In contrast, the opinions of the participants were divided between other more recent approaches to custody, although more than half of the respondents articulated a preference for transferring physical care of their records to a central archiving entity as long as they could keep legal ownership. A significant number however also supported a decentralised collaborative approach where both physical and legal custody remained with the organisations that created the records, but with outside assistance in the management of these records and potential archives.

These interview results confirm an a priori theme that arose in the literature surveyed (chapter three) and the website content analysis (chapter four), that creators of community records generally prefer the alternative stewardship and post-custodial approaches to custody, as they feel a deep connection with and a strong sense of ownership for the records they have created. McDonald (2008:18) also highlights this, elaborating that the community often retains legal ownership, even physical custody at times, but frequently finds collaboration necessary; striving for partnerships between itself and the formal archives and heritage sectors where both assist and give each advice and input on the group's archiving matters.

These findings also corroborate the discussions in the literature (chapter three, section 3.2.1), namely the postmodern discourse in the archival domain which has challenged the traditional archival principle of provenance, and introduced unconventional forms of provenance such as social provenance and ethnicity as provenance. These new meanings of provenance call into question the conformist archival values of ownership and accordingly impact on the communities preferences towards custody (Wurl, 2005).

Closely linked to the question of custody was the issue of the attitude of these organisations towards where they would more readily transfer their records to. In other words, where would those informants that indicated a preference for – or an indifference to – their potential archival records being transferred away from their custody to a central location, prefer these to be housed? First thing to be noted, however, is that none of the organisations had ever thought about depositing their records with any other organisation before this possibility was suggested to them by the researcher. This was especially due to the assumption on the part of these organisations that their records were of no use to others and therefore no one else could be interested in them.

The literature portrays many different possibilities when it comes to a centralised approach to housing community records, such as mainstream institutions (e.g. formal heritage institutions and universities), a central independent community-based archives, transfer to an existing broader community centre, or even transferring records to a national or local archive of the particular country (McDonald, 2008; Flinn, 2010). These various possibilities were also supported by the website content analysis of existing national and international endeavours to document the under-documented (presented in chapter 4). Although this theme was often brought up in the literature examined in chapter three, it was initially intriguing that the views of the participants in this study were different from those expressed in the literature in that most respondents suggested a formal or mainstream institution such as a university as their preferred choice, while authors on the topic of community archiving report that community individuals and organisations normally choose to affiliate their records to community structures, such as their own central independent community-established archives (Neal, 2002; Flinn, Stevens and Shepherd, 2009).

On closer inspection, however, it became clear why this opinion was put forward by a significant number of these Portuguese community-based organisations in South Africa. Since Portuguese community-based organisations were becoming increasingly unstable and unsustainable, participants felt that their records might be better safeguarded at a mainstream institution more capable of caring for their potential archival records in the long term because these institutions are expected to be more stable. Newman (2011:96) explains that a community archives collection should preferably be associated with and preserved by an organisation that is soundly governed and sustainable. According to the findings interpreted, on the other hand, many of these Portuguese community organisations were revealed to be unsustainable in the long run, and may thus not be the ideal space to preserve their records. Additionally, the mainstream institutions are more likely to have superior infrastructure, skilled staff, and so on. Flinn (2011:7-8) also acknowledges this situation, elaborating that, although the focus of documenting communities has predominantly been that of keeping physical custody of records within community structures as well, there has been a gradual shift in focus so that community archiving "... may not be about the physical custody of the archive so much as retaining the intellectual ownership of the collections while partnering with a formal heritage organization over their physical custody" (Flinn, 2011:8).

Questions of trust, an a priori theme that emerged in the literature, were brought up by the participants as well as a motive relating to why these preferred a mainstream institution. The significance of trust remained detectable as an undercurrent throughout the investigation. However, while the literature often cited mistrust towards mainstream institutions and strategies for gaining trust from these institutions as a main issue (Lu, 1993; McDonald, 2008; Flinn, 2010), the participants in this study quoted mistrust between each other as a major concern, that is political infighting between the actual community organisations would probably prevent them from coming to some sort of consensus regarding a community-based initiative – hence the argument by these participants that transfer to a mainstream institution might be a safer option. As a final point on the option of transferring these potential archival records to a mainstream institution, it is worth noting that, at the end of the day, the choice and success of such an approach is equally dependent on the willingness, the capability and the interest of

these institutions – such as a mainstream university or a government archives – to accept, acquire or procure the records of these communities. However, a more detailed discussion of this issue follows in section 7.8 of this chapter.

A smaller number of organisations indicated a central community-based initiative as their preferred choice to house a communal archival collecting effort. This choice highlights the views reported by authors such as Neal (2002); and Flinn, Stevens & Shepherd, (2009) who agree that there are those who advocate the establishment of totally independent community archival programmes by community organisations, that is, that these materials be kept within these communities. These participants gave reasons similar to those emerging from the literature examined in chapter three as to why they preferred this option. These included: ensuring a direct connection between the records and the community; continued control over their records which they felt would be lost if these were transferred to a mainstream institution; and the real possibility that some community organisations would be reluctant to transfer their records to a mainstream organisation in the first place. Tsuruta (1996:107) corroborates this view, stating that closeness to record creators is identified as the main advantage of community-based archives. The author explains that other benefits to this approach are that the informal networks existing among community members make it easier for community-based initiatives to cooperate with their own communities and for them to locate potential archival records and advocate for archival activities in the community.

McDonald (2008:59) also remarks that it should come as no surprise that this documentation is sometimes held at a community-based archives rather than at an archives affiliated with an academic or similar institution, because the latter are often subject to internal pressures – such as institutional collecting priorities, archival and research significance of the records, and so on – that prevent them from collecting these materials at times, while “... community archives, administered independently, are largely free from such pressures”.

Nonetheless, these participants did express some doubts about their preferred choice, notably whether or not the community is willing and able to support an archival

programme on its own. Other concerns included that their organisations' premises might not be the best place for keeping records permanently, a lack of committed individuals to drive such an endeavour within the community, a lack of knowledge in the field of archives and records management, and a lack of funds. The Portuguese organisations felt that some of these obstacles that may be encountered in specifically creating and sustaining a community-based archives initiative could be overcome though by, for instance, raising funds from community members and the Portuguese government, and seeking assistance, creating partnerships, collaborating, and cooperating with mainstream institutions that have archives and records management expertise.

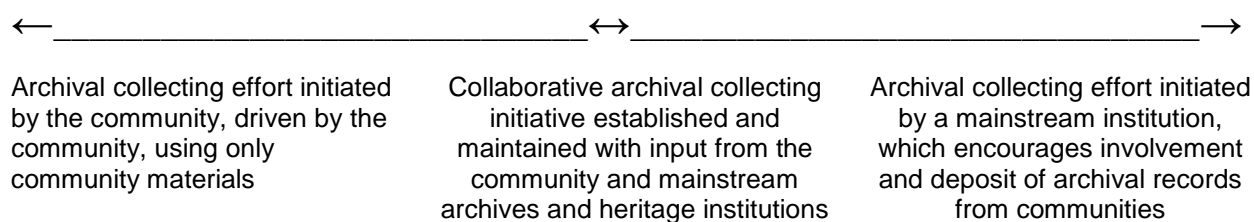
Newman (2011:89) similarly highlights these concerns, explaining that, for an independent community-based archive to be a practical option, it needs to be sustainable, encompassing a range of factors essential to maintaining community-based archives over the long term. According to her article, community-based archives that are more likely to be sustainable, should ideally display the following characteristics: good governance; sustained funding; external support; skilled staff; collaboration with the formal archives sector to achieve expertise, et cetera; dynamism and commitment on the part of staff; appropriate preservation; sound archival practices in areas such as appraisal, arrangement, description, finding aids, access and promotion; the nature of the collection; and community engagement (Newman, 2011:95-97).

In addition, with regard to this research objective, a recurrent theme in the literature which reflects much of what was mentioned in the interviews was the importance of community input and participation for any such collecting effort to be successful and legitimate – irrespective of whether it is driven by a community-based institution, whether it is initiated by a mainstream institution, or whether it is created with the collaboration of both. This substantiates the literature reviewed in chapter three (section 3.3.1.7) which also reported on collaborative approaches towards community archiving endeavours, and what was observed in the website content analysis in chapter four. For instance, Stevens, Flinn and Shepherd (2010:64) maintain that there are a number of collaborative possibilities. These collaborative initiatives include custody, collection,



dissemination, advice, consultancy, and outreach and marketing of the value of these collections. Moreover, a report of the proceedings of a conference held in South Africa in the late 1990s by the GALA Archives clearly articulates the need for community collaboration and participation: “A key premise of community archiving is to give substance to a community’s right to own its own memories ... Community participation is a core principle of a community archives” (Eales, 1998).

To encapsulate, the following linear scale distinguishes, in an uncomplicated manner, the potential choices relating to an archival collecting initiative of a community:



As observed in the discussions above, this distinction is significant, since efforts driven by mainstream organisations may not require as many resources because they already have the in-house infrastructure, funds, skills and experience, while community-driven projects may require resources and skills and specific support to define and develop their initiative into a feasible project (Jura Consultants, 2009:12). On the other hand, an endeavour driven and maintained by community structures also has its unique benefits such as ongoing direct connection of the collections with the community and the added advantage of these being able to locate potential archival records and advocate for archival activities in the community. Either approach can be complemented by collaboration, as was shown in the discussion of the results. These potential choices relating to a place of custody for an archival collecting initiative by the Portuguese community will be expanded upon, in the conclusions and recommendations in the next chapter of this study.

### **7.7 Additional comments and suggestions provided by the interviewees**

Additional comments made by the participants of the Portuguese community-based organisations included the use of ICTs and the Internet to enhance any proposed collecting effort of the community, other potential sources of archival records to populate

a collecting effort, marketing strategies, and possible sources of financial and other forms of support. These results are interpreted as follows:

The findings showed that the organisations would consider the use of the Internet to act as a central gateway to these community-based archival records. Besides offering finding tools and information on the organisations and their records on such a central webpage, actual digitised records could also be made available on such a site. As observed in the literature surveyed in chapter three (section 3.3.1.8), although ICTs and the Internet may present some challenges, they also offer new opportunities for documenting the under-documented, community archiving and related practices.

These technologies can be used to support proposals to safeguard community-based organisational records, and the social memories these hold (Flinn, 2010). Possibilities are innumerable and include, inter alia, digitisation of community records and the creation of a digital community network website for instance, where community-based organisations can submit and disseminate their content about themselves, and share archival records with community members and a wider audience through participatory software (Flinn, 2010). In addition, Web 2.0 technology, also known as social media, which is used to describe the various websites, services, and platforms that archives use to promote their collections and facilitate interaction with their users, are also recommended for online community participatory archiving (Thorman, 2012:2).

Suggestions on how best to eventually promote these potential archival records so that they can be used by researchers inside and outside of the community included the use of community media, such as the Portuguese community newspapers, and mainstream media to reach a wider audience. Community organisations themselves were also suggested as ways of promoting these collections, where talks and presentations could be made at community events, to make members aware of any proposed collections. Newman (2011:95) also highlights the value of promoting the collections held by these archival initiatives of the community. She explains that apart from trying to sell the idea of such an initiative to the community and broader society during the proposal stage of such a programme, it is equally important to persistently promote the archiving effort,

once established. This should be supported by practical and real actions such as talks, presentations and exhibitions, and especially marketing the research services available by ensuring that the community collection is open for research on a regular basis.

Possible sources of financial assistance suggested were the Portuguese community organisations themselves (not necessarily their own organisation). Organising fundraising events through these organisations specifically to raise funds for any proposed archival collecting effort was also recommended. In addition, seeking financial support from community individuals, especially wealthy community members, and approaching the Portuguese government through the Portuguese embassy in South Africa were mentioned as well. And then – besides financial support – ideas on individuals, organisations or institutions (other than their own community organisations) that might be willing to be involved or support the initiative in any other way were also articulated. These thoughtful insights consisted of inviting young South African Portuguese individuals who might not be actively involved in any community organisations, to be part of any proposed advisory body and involving ‘important individuals in the community’, such as people involved in politics and business. The Portuguese government and embassy representatives were also mentioned as being possible networking contacts that should be involved by, for instance, receiving the endorsement of the embassy and relying on them to encourage the community to back the initiative. This type of backing may equally assist such an initiative by giving it additional legitimacy within the community.

The issue of the need to support community collecting initiatives is also emphasised by Newman (2011:89). The author states that she has “... become increasingly concerned about the plight of community archives ...” . She goes on to say that funding is seen as a major challenge. In addition, support in other forms such as the community taking interest and providing support for the initiative, and external support from mainstream institutions can contribute significantly to establishing and maintaining such an archival collecting initiative of a community (Newman, 2011:96-100).

In conclusion, a recurring theme during the closing comments of the participants was that, crucial to initiating an archival collecting effort, is the need to source not only organisational records, but also equally significant records from other spheres – namely from community individuals and families. These may include personal papers and even oral history programmes. This theme arising from the interviews is remarkably similar to those reported in the literature surveyed in chapter three. However, although the researcher recognises the importance of this recurring appeal by the participants, the present research study had as its main purpose (and limitation) to confine its investigation to community-based organisational records as a way of preserving the contemporary history of the community. The researcher was fully aware of other possible vital community sources and took cognisance of the relevant suggestions made by the participants. These will however be taken into account and discussed in more detail in the section of this thesis that deals with the recommendations for further studies (chapter eight).

### **7.8 The willingness of mainstream institutions to accommodate the records of these community-based organisations**

As was noted earlier in section 7.6 of this chapter, on the option of transferring potential archival records to a mainstream institution, in the end, the choice and success of such an approach is equally dependent on the willingness, the capability and the interest of these institutions – such as a mainstream university or a government archives – in accepting, acquiring or procuring the records of these communities. This issue is also persistently recognised as an a priori theme in the literature reviewed. For instance, Church (2008:176) argues that the ability or readiness of formal archival institutions to accept or even actively seek out these records depends on factors such as staff shortages, funding limitations, available storage space, competition among repositories, and gaps in existing materials. Similarly, McDonald (2008:59) states that multiple factors may account for the keenness or capacity of the formal archives and heritage sectors to receive or even solicit these materials, including existing institutional collecting policies, the list of duties information professionals already have, limited time and resources to accept or procure new transfers or donations, and a lack of awareness of the actual existence of these materials and their potential importance.

However, because these studies were carried out in other countries and did not necessarily reflect the position in South Africa, the researcher pursued this issue by conducting a short unstructured face-to-face interview with the National Archivist of South Africa and informal telephone discussions with the directors of the special collection/archives departments at four South African universities, namely, the University of Johannesburg, the University of Pretoria, the University of South Africa and the University of the Witwatersrand. These institutions were asked whether they would be willing or able to accommodate materials from community organisations, such as the Portuguese community-based organisations in Gauteng. The National Archives pointed out that, although the new National Archives and Records Service of South Africa Act (South Africa, 1996b) encourages the acquisition of non-public records, they would prefer not to acquire these records. They also explained that the National Archives prefers a decentralised distributed approach towards non-public organisational records in terms of which the records are kept with the organisations that create the records, while the National Archives collaborates with these organisations by offering them any form of advice on caring for their records and their potential archives.

On the other hand, the archives or special collections departments of the South African universities contacted indicated that they were willing to accommodate these records as full donations or as physical custody transfers. The three universities mentioned above also explained that they were willing to provide these community-based organisations with archives and records management support and advice. Furthermore, they were supportive of forming partnerships and collaborating with these community organisations. These universities did, however, explain that they would neither proactively pursue such a collecting effort nor actively seek out the records of these community organisations. In view of time and resources constraints on their part, they also preferred such an endeavour to be driven by the community organisations and their members.

Interpreting these results points towards the real possibility of the records of certain Portuguese community-based organisations (those that prefer a mainstream housing approach towards the custody of their archival records) being transferred to a university

special collections department. Many of the participating community organisations - as the potential donors of these materials – showed this inclination, and so did the universities – as the receiving entities – who also supported the acquisition of these materials, albeit in a passive way.

However, the willingness showed by these preliminary contacts with the four universities, called upon informally, cannot be taken as true for all South African academic institutions. The willingness and/or capability of these South African mainstream archives and heritage institutions to acquire, procure and accommodate the records of this community (or any similar community for that matter) needs further exploration that would involve in-depth empirical investigations of these mainstream institutions. Since this was not the purpose of this study, it is best reserved as a research problem for a future investigation. This possible enquiry is recommended in section 8.6 of chapter eight: “Suggestions for further studies”.

## **7.9 Summary of chapter seven**

Using the data reported in chapter six, the themes and patterns that were realised in the data were interpreted and discussed through integration and synthesis in this chapter, around the research objectives of the study.

By way of the findings interpreted in this chapter and the data presented and analysed in the previous chapter, the next chapter provides a summary of both the study and the conclusions and recommendations based on these results.

## **CHAPTER EIGHT: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS**

### **8.1 Introduction**

The previous chapter, chapter seven, interpreted the results of the study. With reference to the findings discussed in that chapter and the results presented and analysed in chapter six, this chapter provides a summary of the study. In addition, it also presents the conclusions and recommendations of the research endeavour based on these results. Furthermore, a model which suggests and demonstrates possible strategies for creating and sustaining an archival collecting plan for the records of the South African Portuguese community-based organisations in Gauteng, is presented.

### **8.2 Summary of the major findings of the study**

This study aimed at investigating how to bring a specific underrepresented group, namely the South African Portuguese community, into the country's archival heritage by seeking the most effective strategies for collecting the records created by their community-based organisations.

In order to achieve this aim, the researcher first placed the study into its broader theoretical paradigm of documenting under-documented communities in general. The study then reviewed literature on documenting under-documented groups, community archiving and related practices and, in addition, existing programmes in the national and international context to preserve the history of these communities were also examined, using a website content analysis. Thereafter, as prospective providers of potential archival records which are creating materials that could possibly assist in documenting the social history and experiences of the Portuguese community, South Africa's Portuguese community-based organisations in Gauteng were investigated. Finally, the study devised an archival collecting framework for these records and recommended a documentation model so that these could become part of a viable and sustainable archival collecting plan of the community.

These major findings – in summarised form – are recapitulated around each research objective for this study:

### **8.2.1 Summary of the findings relating to the South African Portuguese community-based organisations in Gauteng**

The first research objective examined the history, nature, purpose and activities of the community organisations selected for this study. The findings revealed that most of the organisations are non-profit establishments and have been in existence for a relatively long period. The longevity of these organisations confirmed that they may hold historically potential archival records going as far back as to when the earliest was formed and dating to the present. They are therefore valuable not only to the organisations, but also to the community and to researchers in general. The results also showed that these organisations provided a diverse range of services and activities which further supported the presupposition that these may hold potential archival records that reflect both the history of the organisations themselves, and the daily lives of community individuals as lived through these organisations at events, festivals, social gatherings, sporting occasions and so on.

### **8.2.2 Summary of the records produced and held by these organisations**

This section examined the research objective relating to the records generated by the Portuguese community-based organisations. The study established that these community-based organisations create diverse and unique records that may show important aspects of the community's history and cultural life. Their records included administrative records of their daily activities and records which reflected the events, functions, programmes and other occasions these organisations were involved in together with community members.

### **8.2.3 Summary of the recordkeeping practices of these organisations**

The empirical findings of this research objective revealed that the keeping of records by these organisations is performed for predominantly administrative purposes. In addition, the recordkeeping practices of these organisations were inadequately performed. Most organisations kept their records in their working office space, in conditions that were not appropriate for holding current records or preserving any records in the long term. Filing practices were also lacking: there were no formal file plans or classification schemes, and no – or only rudimentary – findings aids. Added to that, disposal and appraisal



practices were unsatisfactory, with records being discarded or kept indefinitely by chance, rather than through systematic guidelines or decisions.

Although the current record practices of these organisations were generally inadequate, an encouraging detail is that an overwhelming majority of the interview participants were open to outside assistance or some sort of collaboration, and would welcome any sort of help to improve the management of their records and potential archival materials.

#### **8.2.4 Summary of the willingness of these organisations to support and contribute to an archives collecting initiative of the community**

All the organisations supported any such archival collecting initiative of the community in principle. The participants from the organisations felt that any attempt to bring about an archival collection of the Portuguese in South Africa was a good idea, would be welcomed by the community, and would also be a valuable and positive contribution to a broader audience. In addition, the interview findings illustrated that, apart from being sympathetic to the idea of an archival collecting effort of the community, in general, most of these organisations would be willing to support and be involved in such an endeavour in one way or another, depending on what type of backing was expected. The majority supported the suggestion of serving on an advisory committee but most did not support the idea of being part of a steering committee. Most neither proposed their financial support, nor offered their physical infrastructure to house a central collection.

All – but one – of the organisations were willing to contribute their records to any planned collecting endeavour of the community. The willingness of these participants to make their potential archival records available to or part of such a project did, however, raise some concerns and conditions. These included types of records for inclusion, sustainability of the entity that takes on the initiative, and reservations regarding the custody approach adopted.

#### **8.2.5 Summary of the organisations' preferences regarding custody of their potential archival records**

This research objective examined the participants' attitudes towards the custody of their potential archival records and where these organisations would prefer to house their

potential archival records. The study found that none of the informants were in favour of the traditional approach to custody, that is, physical and legal transfer of ownership of their records. In contrast, the opinions of the participants were divided between other more recent approaches to custody, although more than half of the respondents articulated a preference towards transferring physical care of their records to a central archiving entity as long as they could keep legal ownership. All the same, a significant number also supported a decentralised collaborative approach where physical and legal custody both remained with the organisations that created the records, but with outside assistance in the management of these records and potential archives.

Closely linked to the question of custody was the issue of the attitude of these organisations towards where they would more readily transfer their records to. Most respondents suggested a formal or mainstream institution such as a university as their preferred choice. It became clear why this opinion was put forward by a significant number of these Portuguese community-based organisations in South Africa. Portuguese community-based organisations were becoming increasingly unstable and unsustainable. Participants therefore felt that their records might be better safeguarded at a mainstream institution in the long term. A smaller number of organisations also indicated a central community-based initiative as their preferred choice for housing a communal archival collecting effort, that is, that these materials be kept within these community structures, because this would ensure a direct connection between the records and the community. Nonetheless, these participants did express some doubts about their preferred choice, notably whether or not the community would be willing and able to support an archival programme on its own.

#### **8.2.6 Summary of the additional comments and suggestions provided by the interviewees**

Further comments made by the participants of the Portuguese community-based organisations included the use of ICTs and the Internet to enhance any proposed collecting effort of the community; other potential sources of archival records to populate a collecting effort – such as private papers of community individuals and oral histories; promotional and outreach strategies – like Portuguese community newspapers and

mainstream media to reach a wider audience; and possible sources of financial support, such as wealthy community members and the Portuguese Embassy in South Africa.

In addition to that – besides financial support – ideas on individuals, organisations or institutions (other than their own community organisations) that might be willing to be involved or support the collecting project in any other way were also articulated, such as inviting young South African Portuguese individuals who might not be actively involved in any community organisations to form part of any proposed advisory body.

### **8.2.7 Summary of the willingness of South African mainstream institutions to accommodate the records of these community-based organisations**

As observed in the literature reviewed in chapter three and expressed by a number of participants in the study, there were a number of these community organisations that preferred to transfer their records to a mainstream institution. However, it was found that this preference is largely reliant on the willingness of these institutions – such as a mainstream university or a government archive – to accommodate the records of these communities.

The researcher pursued this concern by conducting a short unstructured interview with the National Archivist of South Africa and informal telephone discussions with four South African universities in Gauteng. The National Archivist pointed out that, although the National Archives support the acquisition of non-public records, they would prefer not to acquire these records for reasons similar to those reported in the literature, such as a lack of staff capacity, a lack of time, a lack of space, and a backlog in processing existing archival records in their collections. In contrast, the archives or special collections departments of the South African universities contacted, indicated that they were willing to receive these records as full donations or as physical custody transfers.

## **8.3 Conclusions**

The previous section provided a summary of the key findings of this study. This section provides the conclusions drawn from the research objectives and themes that emerged from the findings. In order to draw conclusions, the researcher returned to the research objectives and spelled out the implications of the findings relating to these. As far as

possible, the conclusions were drawn according to the order in which these research objectives were stated in chapter one.

### **8.3.1 Conclusions on the South African Portuguese community-based organisations in Gauteng**

Outcomes across the multiple sources used for this research objective were key to the study, and important conclusions were drawn from them. Significant findings with regard to the history, nature and activities of these organisations shed light on whether these organisations have generated and kept records in the first place and whether, according to their nature and activities, these organisations create records that are potentially worthy of archival preservation.

First of all, due to the long establishment of the Portuguese community-based organisations in South Africa and their formation being closely linked to contemporary immigration patterns of these people to South Africa since the early twentieth century, the study was able to conclude that these hold records that go as far back to their foundation and similarly nearly as far back as to when their community members first arrived here. The implication of this conclusion is that these organisations hold potential archival records that reflect the community's day-to-day experiences which are closely linked, not only to the time since their inception, but equally to the period of modern-day immigration, since the first arrivals of these people to this country in the twentieth century.

Secondly, the study revealed that these organisations provide a range of activities and services to their community members. This finding further strengthened the initial assumption that these organisations may hold potential archival records that possibly reflect the day-to-day experiences of community members as lived through these organisations at the events, functions, festivals, social gatherings, and sporting occasions hosted by them, and that these records are therefore worthy of systematic management and preservation.

In addition, the findings suggested that a large proportion of these organisations have recently encountered various obstacles to their long-term sustainability, most notably a

decrease in membership due to the integration of younger Portuguese South Africans into their host country. The implication of this finding is that these organisational records might be under threat in the very near future, especially if these materials are destroyed when these organisations shut their doors. These findings make the initiation of an archival collecting effort of the community even more pressing. As some of these close down, the means of contacting already defunct entities to explore the possible inclusion of their records in an archiving effort of the community will be more arduous, if not impossible at times.

Furthermore, another consequence relates to the research objective concerning the custody of these records. As these non-profit community organisations become more unstable and face possible closure, this impacts on the custodial possibilities and preferences of their potential archival records. As organisations that are on shaky ground, many of these are not in an ideal position to preserve their records on their own premises in the long term. This was emphasised by a number of the participants who explained that, due to the instability of their organisations, these may not be the ideal space to preserve their records, and that transferring records to a mainstream institution which is more secure and can consequently care for their records long-term may be a more viable option. These conclusions, in turn, have a direct bearing on the possible custody options of the potential archival records held by these organisations (discussed in section 8.3.5).

### **8.3.2 Conclusions on the types of records produced and held by these organisations**

The study concluded that the types of records produced by these organisations were varied and included administrative records of their daily activities and records which reflected the events, functions, programmes and other occasions these organisations were involved in, together with community members. The rich diversity of this documentation confirmed what the literature reviewed showed: that the records produced by these community-based organisations are often wide-ranging and may act as an important potential source for an archival record of an under-documented community. The study also ascertained that the types of records created by them are often unique to these community-based organisations, in that they are not often found

in, or transferred to, government archives and other mainstream heritage institutions. These records – which might have been ignored or omitted in existing archives and heritage collections – show important aspects of the community's history and cultural life, which could otherwise be lost. They contain information on the development of the community, its institutions and its people.

The implications of the unique and diverse nature of the documents produced by these organisations were supported by the views in the literature surveyed (chapter three) and the website content analysis of existing institutions involved in community archival collecting initiatives (chapter four), that is, that the materials created by these community-based organisations are often distinctive and varied, which is why they therefore contain significant and irreplaceable information about both the past and recent experiences of the community. These materials may thus serve as a vital archival record of an underrepresented community, which merit long-term preservation and systematic management for historical and research purposes.

### **8.3.3 Conclusions on the recordkeeping practices of these organisations**

The study's conclusions allude mostly to negative points regarding the recordkeeping practices of the Portuguese community-based organisations in Gauteng. The foremost of the study findings revealed a poor state of affairs in the management of all records at these organisations, including paper-based and electronic records. While these organisations do manage their records in a rudimentary way, this study showed that their efforts were constrained by a variety of influences acting as barriers. Firstly, these community-based organisations considered their records to have administrative value for the organisation itself only, and had given little or no thought to their potential secondary values for archives and research purposes. The consequence of this is that records are cared for from a short-term point of view, with only their immediate day-to-day operations in mind. The perceived short-term value of their records also led to older documents being piled on shelves, tables and on the floor – in no particular order, or to older records being transferred to boxes, often being piled into these without proper labelling.

The study also inferred that the organisations' surroundings were not conducive to efficient recordkeeping, with records being kept in working office space in conditions that were not appropriate for holding current records or preserving records over the long term. The organisations had no formal file plan or classification scheme, while only a few reported having a basic filing system according to subject and date. They had no, or only basic, tools to assist them in locating their records (finding aids) and most of the organisations did not have a dedicated person to do their recordkeeping, including basic activities such as filing. Organisational records appraisal and disposal practices were generally unsatisfactory as well. Records were not appraised and disposed of systematically. Decisions on what to keep and what to throw away were not based on any guidelines or done in a purposeful manner. Instead, records were discarded, kept for the long term, or indefinitely depending on circumstances or on chance.

The study concluded that these factors – ineffective finding aids, inadequate storage, a lack of interest, and so on – had contributed to a state of affairs where some records, (especially after their immediate value had expired), have been destroyed, have gone missing or have been damaged, while others have become inaccessible or have been forgotten about after their immediate value had expired, due to these ineffective practices.

The implication of these findings is that these organisations require urgent assistance in the management of their current records and the preservation of their potential archival records if these are to become a means of documenting the contemporary history and experiences of the community. The study did conclude that the participants' general perceptions with regard to outside assistance were positive. They indicated that they would welcome support from any persons, companies or institutions (such as archivists, records management companies and universities or government archives) that were willing and able to provide them with professional advice on records management and archiving matters. In addition, these findings imply that collaboration and cooperation between the community and mainstream institutions is crucial for such an initiative to succeed.

### **8.3.4 Conclusions on the willingness of these organisations to support and contribute to an archives collecting initiative of the community**

From the analysis and interpretation of the findings, it became evident that the Portuguese community-based organisations in Gauteng were, in principle, supportive of a community archival collecting endeavour and thought it would be beneficial. This view is supported in the literature reviewed. Besides the benefit of documenting the history of the actual community, these community archival collections can bring several distinct advantages, such as 'cultural capital gains', opportunities for lifelong learning, community activities, drawing the community closer, and enhancing community dignity and pride (CADG, 2007:7-9).

Although the participants expressed their support, it became clear that they had never thought of embarking on such an endeavour prior to their interactions with the researcher. The main reason they had never considered pursuing such a project – on their own or in collaboration with a mainstream institution – was that they were generally unaware of the significance of organisational records as potential archival sources, and they were equally unaware of the specific archival value their community records might hold.

According to the findings, the researcher was also able to conclude that, other than being in favour of the idea of an archival collecting effort of the community in theory, most of these organisations would, in general, also be willing to support and be involved in any such an initiative in one or other practical manner. The majority supported the suggestion to serve on an advisory committee although most did not support the idea of being part of a steering committee.

These results implied that, although the participants would be willing to offer support in an advisory capacity, they were unable or unwilling to take charge of such an initiative collectively. Similarly, the mainstream institutions contacted – involved in archives and heritage work (see section 6.3 of chapter six) – also indicated that they were unable or unwilling to initiate and drive such an endeavour. A likely consequence of these conclusions is that, from the outset, (a) committed individual(s) would have to be identified to get such an initiative off the ground. This confirms what the literature



emphasised: that community collecting efforts are often the result of the dedication of one or a few community members. As a result, the activities of identifying and selecting not only advisors, but also individuals to drive the project, were recognised as being vital for such an initiative to take off in the first place and to endure in the long run.

In addition, most participants from these community organisations did not propose their monetary support. The implication of this result is that alternative means of financial support for any such collecting initiatives would have to be sought. Depending on the custody approach adopted, the extent and type of funding needed would differ. In the case of an organisation adopting an independent community-based effort, the inference was that funds may have to be requested from wealthy community members, the Portuguese government and so on while, with a mainstream approach, monies may already be available within the structures of these institutions to maintain such a programme, for instance community engagement project funds at universities.

Furthermore, most of the participating organisations did not suggest their own physical infrastructure to house a central community archival collection, implying that alternative solutions would have to be sought. The creation of a new central community centre to house these records was identified as one option. However, this decision was observed to have possible financial costs that certain community organisations might be unwilling or unable to bear. Mainstream institutions were also recognised as alternatives to housing these collections yet, again, various issues, such as trust, confidentiality, and so on were identified as possible factors that might complicate this choice. These are discussed in greater detail in the section dealing with the recommendations for this study (section 8.4 of this chapter).

All but one of the organisations were willing to contribute their records to any planned collecting initiative of the community. The predisposition of these participants to making their potential archival records available or part of such an endeavour also has significant implications, the foremost of which, a positive consequence, is that the willingness to contribute their potential archival records shifts the mere suggestion of such a project closer to a concrete reality since, without the input of these records in the

first place, any proposed collecting initiative of the community would be difficult, if not impossible. In addition, it also enabled the researcher to conclude that the organisations' attitudes towards contributing their records to an archival collecting effort of the community were significantly related to their attitudes to the specific custodial approach that is adopted (discussed in the next section 8.3.5).

### **8.3.5 Conclusions on the organisations' preferences regarding custody of their potential archival records**

For the findings of this research objective, the researcher was able to conclude that none of the participants were in favour of the traditional approach to custody of both physical and legal transfer of ownership of their records. They preferred the more recent forms of custody such as a post-custodial approach, collaboration and stewardship. They felt that their organisational records belonged to them and they would therefore not consider renouncing legal ownership of these. This is in line with the literature reviewed in chapter three, which revealed that communities often have a strong sense of ownership of their records and see these as being part of or belonging to the community. Similarly, the reviewed literature demonstrated a current shift in archival theory and practice away from conventional institutionalised custodianship to joint collaborative and stewardship approaches. These results also confirmed what was observed in the website content analysis (chapter four), that creators of community records tend to feel a deep connection with and a strong sense of ownership of the records they have created.

The extent of collaboration on the custody of their records varied though. Some participants preferred a scenario where their records would still be held by them on their own premises, but that they would partner with a mainstream institution for archives and records management advice and support. Others were in favour of a programme in which they kept legal ownership, but their archival records were physically transferred away from them, entailing a variety of collaborative activities with the community, such as forming an advisory body comprised of community members.

The participants who were in favour of their archival records being transferred away from their own premises for safekeeping, suggested housing these at either a central,

independent community-based archives or centre, or at a mainstream institution involved in archives and heritage work. The study revealed that the majority preferred a mainstream institution, such as a university. The researcher concluded that this choice was attractive to the respondents because they feared that their own organisations were not in an ideal position to provide their own records with long-term care due to their instability and dubious sustainability. In addition, they felt that the community did not have the resources and expertise to care for their own records indefinitely. Finally, due to mistrust between their community organisations, these might be incapable of reaching consensus on an organisation to collectively house their records within their own community structures.

The repercussions of these attitudes towards the custody of their records and where these organisations would eventually choose to house their records are significant. First and foremost, the results show that the participants' custody preferences were not uniform, and that any archival collecting effort proposed by the community will have to take all these views into consideration if a collecting strategy that facilitates the contribution of archival records from all these organisations is to be achieved. The suggested model for an archival collecting plan for the Portuguese community (presented in section 8.5) provides a framework which attempts to address all these perspectives.

Finally, it also became clear that, whatever approaches were adopted, to be successful, collaboration, cooperation and partnerships with the community would be crucial. Ongoing collaboration and input relating to all archiving matters were identified in the literature reviewed and raised by the participants. These included participation in advisory bodies, help with identifying relevant materials, assistance with filing schemes, arrangement and description, disposal and appraisal, preservation, access and outreach.

### **8.3.6 Conclusions regarding the additional comments and suggestions made by the participants**

From the findings, the researcher concluded that the participating organisations were open to the use of ICTs and the Internet to enhance the management and preservation

of, and access to their potential archival materials. They provided some related suggestions such as utilising the Internet as a central gateway to the archival records held by the various organisations and digitising some of their materials to make these available online on the Internet. However, as individuals who are not experts in the use of ICTs and the Internet for archives and records management purposes, they did not provide any detailed proposals. On the other hand, the literature reviewed, provided a range of possible applications of these technologies to improve or augment community archiving initiatives, such as the use of Web 2.0 technologies, online participatory archiving contributions, central online archival registers and finding aids, web-based exhibitions of community materials, and online genealogical and family research enquiries. The use of the Internet to promote these potential collections was also recommended. An important implication of these findings is that, since community members are not experts at applying these technologies in the areas of archives and records management, this would be an appropriate field in which to seek professional advice on the use of these to support any such community archiving effort.

In addition, the study concluded that, for any archival collecting initiative to be supported and maintained, continuous promotional and outreach activities would have to be performed from the outset to advocate the importance of these collections and to ensure their usage. Suggestions on how best to eventually promote these potential archival records so that they can be used by researchers both within and beyond the community included the use of community media such as the Portuguese community newspapers, and mainstream media to reach a wider audience. Community organisations themselves were also suggested as means of promoting these collections, in the form of talks and presentations at community events, to inform members of any proposed collections.

Finally, the study concluded that diverse ways of supporting any such initiative, especially financial assistance, are vital for it to be established and sustained. Besides direct support from the participating organisations; additional forms of aid suggested were community fundraising events; approaching the Portuguese government for support; involving Portuguese business people; seeking funds from institutions that

might have an interest in the community, such as Portuguese language departments at South African universities; and partnering with educational and cultural institutions in Portugal.

### **8.3.7 Conclusions regarding the willingness of South African mainstream institutions to accommodate the records of these community-based organisations**

As observed in the literature reviewed in chapter three and expressed by a number of participants in the study, there are community organisations that prefer to transfer their records to mainstream institutions. However, it goes without saying that, when all is said and done, the success of choosing to transfer these potential archival records to a mainstream institution depends in the same way on the willingness, the capability and the interest of these institutions – such as a mainstream university or a government archives – to accept, acquire or procure the records of these communities.

By way of unstructured interviews with the National Archives of South Africa and three universities in Gauteng way – namely UJ, UNISA and WITS – the study was able to ascertain, although only as a preliminary assessment, that mainstream institutions in South Africa had distinct preferences regarding the acquisition of these materials from these community organisations. On the one hand, the National Archives and Records Service of South Africa preferred a distributed approach where the organisations keep their own records while the former provides these organisations with archives and records management support and guidance. On the other hand, the South African universities contacted, were open to acquiring materials from these organisations, and encouraged a participatory archiving approach, in terms of which, even after these materials were transferred, there would be ongoing collaboration.

The consequence of these preliminary findings is that firstly, the choice of transferring records to a mainstream institution is equally reliant on the latter's choice to receive or accommodate these. Secondly, for those organisations who do prefer transferring their records to a mainstream institution, a university will probably be a more realistic or appropriate choice – as opposed to the National Archives – due to the readiness and willingness expressed by the former to acquire and accommodate them. Finally, a third

implication is that these community organisations may be able to access much needed archives and records management advice and cooperation which were suggested and offered equally by both the National Archives and the mainstream universities contacted, in their discussions with the researcher.

#### **8.4 Recommendations – the way forward**

The preceding section presented the conclusions of the study findings. This section presents the recommendations in view of the findings of this study and the conclusions arrived at in the previous section. These recommendations are important because they support the main purpose of this research which was to seek avenues which would help to bring the South African Portuguese community's social history and experiences into the country's archival heritage by suggesting an archival collecting framework for the records created by their community-based organisations. The study therefore made recommendations to address the purpose of the investigation and other issues identified by the study, in order to enhance its value.

##### **8.4.1 The archival community actively seek to engage with underrepresented communities, such as the South African Portuguese community, in order to identify and understand the potential creators of community records**

A broad problem identified in the literature study and in the empirical investigation, which is not confined to the Portuguese in South Africa, is that there are communities that are underrepresented in the holdings of South African mainstream archives and heritage institutions. Moreover, most community organisations that generate potentially historically important records of these communities are unaware of their enduring value. This leads directly to the first recommendation. It is highly recommended that, to alleviate this shortcoming, professionals in the formal archives and heritage sectors should start actively seeking out likely creators of and contributors to the archival records of these communities. Surely, if these community organisations battle to recognise the value of their records in the first place, it is highly unlikely that they would be ready to take the first step towards the continued preservation of these records. Therefore, clearly, the burden of initial contact should fall on the shoulders of the archival community. In addition, archivists should make the case to these communities

that a relationship with the archival and heritage fields is a worthwhile venture (McDonald, 2008:58-59).

Unfortunately, as noted, in most cases the archival community is not making these initial contacts. This is regrettable and indicates room for improvement on the part of archivists. Multiple factors may account for this lack of proactive contact. The lack of activity towards the collection of these materials may partly be attributed to the collecting priorities of mainstream institutions in South Africa, especially government archives, which are driven to seek records of previously disadvantaged indigenous black South African communities that form the majority, rather than seeking the records of underrepresented minority groups in the archives, such as transnational immigrant communities, which might not appear to be such a serious or pressing issue to these institutions. It may also be partially attributed to the relatively more recent presence of these people in South Africa. From a practical standpoint, institutional archivists are typically responsible for a diverse inventory of duties and may have limited time and resources to research and solicit new materials (McDonald, 2008:58-59).

However, if archives are supposed to be responsible for documenting previously underrepresented groups equitably, it is a moral imperative for archivists to begin such efforts. These results should serve as a clear call to archivists and other heritage professionals to at least initiate contact with these communities. These initial contacts should lead to a relationship where archivists could begin to assist these communities and their organisations in the development of recordkeeping plans and in encouraging them to preserve their records properly. Ideally, this relationship would ultimately lead to a collection plan or strategy with these organisations contributing their archival records to an archival collecting programme before this important documentation disappears (McDonald, 2008:58). To achieve this, archivists and other information and heritage professionals will need to play a proactive role and will have to take the time to approach these community organisations to learn what they do and what their attitudes towards the management and preservation of their records are. This recommendation relates to the first research objective, since it also suggests that extensive study to understand the community-based organisations – which are at the heart of such a

collecting initiative – and to appreciate their organisational context, that is, exploring the history, nature, purpose and activities of these organisations is necessary before any overt attempts to acquire their records for any collecting initiative are pursued (Lu, 1993:104). For any collecting initiative of a community to be feasible, archivists and any other individuals involved in its establishment will need to understand the creators and their situation.

#### **8.4.2 Performing an extensive records audit of the Portuguese community-based organisations**

With reference to the second research objective, the researcher recommends that an extensive audit to collate information on the nature and quantity of records held at these organisations be carried out. A records audit is one of the key steps towards establishing effective recordkeeping practices (discussed in the next section, 8.4.3) which will ultimately impact on the preservation of potentially important archival records. An audit seeks to locate and record sources of information in an organisation. A records audit establishes how and where the information is stored; who created it, or manages it; who uses it; and for how long it is required. Ideally, the records audit should be performed by individual members of the advisory board set up to assist in the establishment of any proposed archival collecting project of the community (suggested in section 8.4.5 of this chapter).

Performing an audit provides significant benefits such as identifying problems with the management of records, helping to determine what is required to establish effective archives and records management practices, and making requests for information easier to deal with. Records audits also help ensure that the organisations are following internal standards and practices, and can prove it, if required, to external auditors, courts, and so on. They are equally essential to ensuring the organisations' records are meeting regulatory criteria and that their recordkeeping practices are legally defensible. They can also contribute to improved business processes – not just within records management itself (Smith, 2007:42-45).

In addition, a records audit will enable archivists and any other individuals involved in any proposed collecting initiative to know which potential archival records these



organisations may hold and the necessary physical space, as well as the appropriate storage equipment and supplies that might be necessary to accommodate them. Knowledge of the types of records kept at these organisations may also assist with compiling an appropriate collection plan (discussed in greater detail in section 8.4.9 of this chapter).

### **8.4.3 Improving recordkeeping practices at these community-based organisations**

In view of the findings of the third research objective - in which it was determined that the recordkeeping practices of the Portuguese community-based organisations are inadequate - the recommendation is that the practices at these organisations be improved with the assistance of professionals from the formal archives and records management sectors.

Surely, if these community organisations struggle to carry out even rudimentary records management tasks, such as basic filing, it is highly unlikely that they would be ready to take any additional steps in the continued management of their records. These organisations may feel they do not have the time or resources to deal adequately with even their current documents, much less archival records they hardly use. As a result, the community organisational records and the social history and memories these may contain, are at risk – hence the need for mainstream archival institutions and the archival community to intervene by offering these organisations their best possible assistance and advice on records (managing current records) and archiving matters.

This should include advice on all recordkeeping and archival practices such as filing, storage, disposal and appraisal, finding aids, preservation, digitisation and outreach (Newman, 2011:95). A point worth repeating is that the investigation established that the Portuguese community-based organisations themselves were open to such outside assistance and would welcome it. This finding further supports this recommendation.

### **8.4.4 Staff training**

Linking up with the previous suggestion of providing these organisations with recordkeeping assistance, is the recommendation that these organisations should also receive support with staff training. As non-profit organisations, these have often had no

permanent or paid staff members, but handled their affairs with the contribution of board members, volunteers and other community individuals attached to these organisations. The study also showed that there were no individuals at these organisations who were exclusively dedicated to recordkeeping practices. Even those person(s) who performed some rudimentary filing activities for certain organisations, lacked education or training, skills and experience to carry out these tasks efficiently.

Depending on the approaches of the collecting initiatives adopted by each specific organisation, a variety of staff training models may be suggested to alleviate this problem. For example, in a decentralised approach, where an organisation keeps its own records even after their administrative use, it may be advisable to identify a qualified archivist from a mainstream institution to be the primary contact so that those from the community organisation know who they should get in touch with when they need technical expertise and assistance. In addition, this contact person could gradually provide the community members attached to these organisations with ongoing basic training in archives and records management, including basic filing, so that they can eventually tackle some of these responsibilities on their own.

In the case of the Portuguese community organisations that elect to have a centralised mainstream institution take on part of the collecting initiative, the institution is advised to be responsible for training community members from the organisations in recordkeeping, while archiving matters would naturally take place at the mainstream institution itself, after the selected archival records are transferred to the latter.

An additional suggestion is that a basic archives and records management training manual be tailor-made for these community organisations, giving staff or individuals attached to these organisations guidance on recordkeeping practices and procedures. This manual should be compiled with the guidance of professional archivists at South African mainstream institutions, and should provide general guidelines on documenting the Portuguese experience in South Africa and specific guidelines on, for instance, developing particular file plan guidelines for the community's organisational records (New York State Archives, 2002).

#### **8.4.5 Formation of (an) advisory committee(s)**

As one of the first and central steps towards initiating an archival collecting effort of the community, it is highly recommended that an advisory committee be formed to give guidance on its establishment and ongoing assistance on its long-term maintenance, that is, advice on shaping and carrying out any proposed project. The responsibility of such a body could include identifying organisations that are willing to participate in the collecting effort, planning any proposed community collecting initiative, supporting the establishment and growth of the programme/collections, performing a records audit, advising on issues of access, promoting outreach efforts, setting acquisition criteria, maintaining networks, and securing funding (Chau, Nicols and Nielsen, 2009:7).

The mission and selection of the members of the committee should be closely related to the history and scope of community and its collections. Individuals who are willing and capable and have the right skills and interests should be identified. Both individuals from the community organisations and archives professionals should be responsible for identifying these advisory members. The composition of the advisory board should be diverse, and should include members of the community (such as chairpersons of the community organisations, community leaders, and ordinary community members from different classes, ages, genders and professions) and experts (such as professionals from the archives, records management and heritage sectors and historians). Ideally, these should also have an understanding of the Portuguese community, its structures, language and culture (Kaufman, 2004:44).

#### **8.4.6 Committed individuals to drive the initiative**

The study further recommends that, central to a successful collecting initiative, is the identification and formation of a body or a group of individuals to drive any proposed communal collecting effort. Again, this recommendation is a necessary step towards getting any proposed collecting effort off the ground in the first place, and to keep it going in the long run.

A separate body to drive the endeavour, such as a steering committee was deemed necessary since the researcher concluded from the findings of the study that individuals who are willing to give their advice and assistance are often not always ready to

assume responsibility for any proposed effort. Some archivists and community members may recognise a need for a collection effort to document the lives of the Portuguese and they may acknowledge that the time might be right for such a collecting initiative. They may even want to support and assist in establishing such an initiative, but it might not be right for some of these individuals to take charge. The reasons for this could relate to circumstances such as lack of time, resources, or drive and even commitment. Therefore, from the outset it is crucial to identify individuals who are committed to such an endeavour and are willing to run with it.

The recommendation made in this section resonates with the suggestions in the literature by authors such as DiVeglia (2010:99-100) and Newman (2011:95), who recognise the commitment of certain individuals to these collecting efforts as 'archival activism'. They explain that these individuals appreciate that something needs to be done to safeguard the history of these underrepresented communities, that the first concrete actions need to be taken, and that dynamism and commitment from their part is necessary to achieve this goal.

#### **8.4.7 Seeking financial support**

The study also recommends seeking financial support to establish and maintain any proposed archival collecting initiative on the part of the community. With regard to this, the study proposes that funds be committed for a concrete project that can be launched without delay. These funds need to be predictable, dependable, continuing, and regular (Newman, 2011:95). A further suggestion is that fundraising activities should be undertaken by the members of the advisory and steering committees identified in sections 8.4.5 and 8.4.6.

The necessary financial support and its sources will vary however, depending on which custody approaches are eventually followed by each organisation (discussed in recommendation 8.4.8). The community organisations that opt for a totally independent community-based archiving initiative will have to find more funds within their own community structures to launch and sustain such an effort, while those that choose a mainstream institutional collecting approach will find additional funding within these institutions. Mainstream institutions such as universities may have existing pools of

funds available from existing structures, such as community engagement project funds. Otherwise, there are many ways of applying for grant funding to establish and strengthen these collections.

A diverse funding model is ideal when a combination of both inside and outside support is sought. This could include support from universities, governments, philanthropic foundations, cultural organisations, private donors, community associations and individuals, maintained by fundraising activities (Kaufman, 2004:44).

#### **8.4.8 Preferences of the community-based organisations regarding the custody of their potential archival records**

This study recommends that the preferences of the community-based organisations towards the disposition and custody of their potential archival records need to be respected. The importance of abiding by the wishes of communities with regard to the custody of the records they create and own is also recognised by authors such as Lu (1993:104), McDonald (2008) and Flinn (2010) in the literature surveyed in chapter three. These authors explain that the archival community needs to appreciate what the wishes of these communities are and understand why they make the choices they do.

The literature does however suggest that the archives and heritage sectors should explain the various custody possibilities to these communities and their records creators, such as their community-based organisations. The latter have to comprehend what these different options entail, so that they can make an informed decision. The advantages and disadvantages of each choice, for instance, central mainstream custody as opposed to a community-based approach, need to be clear.

In a case where a community-based organisation chooses to preserve its own records, the archival community is advised to provide extensive advice and support not only on current recordkeeping but also on archiving matters (Lu, 1993:105). Although the closeness between the archival records and the records creators facilitates identifying records of continuing value and understanding their context, external support from the mainstream archives and records management fields becomes conversely more indispensable because these organisations generally have neither the professional

expertise necessary nor access to specialised facilities and the like (Newman, 2011:100).

On the other hand – as observed in the literature surveyed and supported by the organisations investigated – in many cases, community-based organisations choose to transfer their records to a mainstream institution. The literature reviewed and the results of the empirical investigation showed that, although communities often have a strong desire to keep their records within their own structures, they are frequently unable to do so. In these cases, mainstream institutions – charged with preserving the heritage of this country – are advised to be as willing and prepared to accommodate these community records as possible. Finding the most suitable repository – with the most appropriate collection policy, infrastructure, staffing, and the like – is crucial to the success of such an approach. In addition, these organisations will need professional guidance from the mainstream institution that acquires their records, especially in relation to current records administration (Lu, 1993:106).

By respecting their preferences in this way, the archives, heritage and records management sectors will be in a better position to foster a healthier and more lasting relationship with these communities and their organisations, one that can only benefit the establishment and maintenance of an appropriate collecting plan further along the line. The proposed documentation model that is discussed in section 8.5.1 of this chapter is designed to accommodate the various custody preferences that individual organisations may cherish.

#### **8.4.9 Formulating a collection policy**

In recent years there have been several calls in the archives and heritage sectors to adopt fundamental changes in how we decide what to collect. Decisions about acquisition and collection of archival materials and the criteria for selection have significant implications for social memory and the documentation of underrepresented communities (Jimerson, 2003:55). Therefore, after the need for the establishment of any such collecting endeavour has been identified, and the reasons for its creation have been ascertained, there is a recommendation for the formulation of a collection policy to guide appraisal and selection decisions. A collection policy is crucial because it will

affect the demarcation of the particular collections, and consequently certain collection areas will be included and others excluded. This policy will also determine how effectively the collecting efforts will function in the future. This is an important task which should be undertaken by the proposed advisory and/or steering committees, during or immediately after the establishment of the new endeavour.

In documenting under-documented communities, elements of the 'documentation strategy' as suggested by Samuels (1986:109-124), may also assist with formulating an archival collection policy for these records. Samuel's documentation or collecting strategy offers a method to document social groups and topics. Its development includes records creators, archivists, and users; is carried out through a system-wide understanding of the intended life-cycle of the record; and, in the process, has emerged as a proactive alternative to passive acquisition. As was noted in chapter three (section 3.3.1.4), Samuel's documentation strategy consists of broad activities which include choosing and defining the topic to be documented, an analysis of the institutional holdings, a carefully written collection development plan, and selecting and placing the documentation (Samuels, 1986:116).

In addition, important elements on which a collection policy of the community should focus include demarcation of a geographical area and demarcation of a collection period, if necessary; documentation priorities, extent and demarcation of the collections; themes and subjects; methods of collection and individuals involved; documentation procedures; preservation procedures; and accessibility. To achieve a clear collection policy, the collecting plan needs to have a clear mission statement encompassing issues of acquisition, collaboration, the audience, and so on. The collection policy should also establish the purpose of the collecting plan.

A collection policy is in fact a statement of a collection's objectives and aims. It therefore serves not only as a guideline but also as a public statement of what will be collected and preserved.

#### **8.4.10 A combined library, museum, cultural and/or research space for the community**

The results of the empirical investigation found that there were a number of participants that kept artefacts and library materials relating to the community. These participants thought it desirable to have an archival collection with a museum and/or a library collection. These findings were corroborated by the results of the literature reviewed and the website content analysis of existing institutions involved in community archiving (presented in chapter four), where several examples of such combined endeavours were revealed. Therefore, if possible and feasible, any proposed community archives programme is advised to be run in conjunction with a library, museum, cultural and/or research space for the community. These combined physical areas can provide the community with a space where they can meet to expand friendship ties within the community, where people get together to make contacts and to network, exchange ideas and interact. On these occasions, activities may be encouraged that promote the history and culture of the community, such as research endeavours, exhibitions, tours and so on, not only for the community itself but equally for the broader South African population.

The establishment of a combined place that includes all these facilities may seem more practical within an independent community-based approach but these collective spaces have also been observed in mainstream institutions. For example, the University of Minnesota (described in chapter four, section 4.2.1.6) established the Immigration History Research Center (IHRC) which is a combined interdisciplinary unit in the College of Liberal Arts, with a central space that includes museum artefacts, archival materials, library collections and research facilities of various immigrant communities.

It should be emphasised, however that, even if a space is created to accommodate a combination of these, the principles and practices underlying one function must not be confused with those of the other. In other words, for the preservation of the archival materials, one should adhere to archival theories and practices accepted by the wider archival community, and so forth.



#### **8.4.11 Cooperation between the Portuguese community, the archives sector and other stakeholders**

The study maintains that cooperation, collaboration and partnerships between the community, the formal archives and records management sectors and other stakeholders are essential. First of all, the archival community should actively cooperate with the Portuguese community when the latter is willing to carry out archival activities. Mainstream archives should provide whatever assistance they can to the community. For instance, they can provide assistance with physical facilities, preservation expertise, public programming and other professional support and training.

On the other hand, the community organisations and their members, with close connections within the community can cooperate and contribute by offering their knowledge of records creators and contextual information on their records, fundraising in the community, and advocating for the archival collecting endeavour within the community.

Partnership opportunities are innumerable and can even include, for instance, the community and a public archives or a university archives jointly running a programme. In addition, networks with other possible stakeholders and institutions or individuals with similar interests need to be developed. However, questions of trust, may present themselves as obstacles to cooperation between these different interest groups. Interviews, focus groups and informal meetings with the community organisations and other community stakeholders can be powerful ways of developing these relationships and building trust within the community (DiVeglia, 2010:100-101).

Ultimately, active community involvement, engagement and input are essential to the sustainability of any proposed archival collecting initiative of the community. This will help ensure systematic documentation of the community's history and experiences, and will assist in achieving the collection goals of the endeavour (Newman, 2011:98).

#### **8.4.12 Promoting the community archival collecting endeavour**

It is also recommended that the archival collecting project be promoted both within and beyond the community. Promotional activities should begin from the outset, since the benefits and value of any such planned collecting efforts need to be advanced so that

support from the community, the archives and heritage sectors, and from other potential stakeholders may be gained and built upon. These could include promotional talks and presentations to these potential interest groups and individuals (Newman, 2011:95). These activities should ideally be performed by the advisory board and/or a steering committee suggested earlier on in this chapter in sections 8.4.5 and 8.4.6 respectively.

Once launched, ongoing marketing programmes should be pursued to ensure the sustainability of the collecting efforts. All key community media and other possible outlets should be considered, such as community newspapers, community organisational newsletters and pamphlets, local churches frequented by the community, and online community websites. Informal community networks, a 'friends' group, and word-of-mouth interaction should also be encouraged as ways of building support. Community organisations themselves are also suggested as a means of promoting these collections, in that talks and presentations could be arranged at community events. In addition, mainstream institutions involved in similar archival efforts should also be made aware of the development of the archival collections and the contents of these collections. Promotional activities should ideally be provided in both English and Portuguese.

The outreach activities and programmes devised to promote the project should expand the awareness of the history of the Portuguese people in South Africa beyond their own community. These concerted outreach and promotional efforts should also aim to raise visibility and improve accessibility in order to ensure lasting usage of these collections.

#### **8.4.13 The use of information and communication technologies and the Internet**

The potential use of ICTs and the Internet to enhance community archival collecting projects was recognised and discussed in the literature reviewed in chapter three. It is therefore highly recommended that these technologies and their various applications be considered.

As revealed in the literature and supported by the suggestions from the participants of the study, these applications are manifold. Firstly, the use of the Internet to act as a central gateway to these community-based archival records should be contemplated. To

achieve this, a central webpage for the community archival collecting effort should be developed. Apart from offering finding tools and information on the organisations and their records on such a central webpage, actual digitised records could also be made available online on such a site. This webpage could also include links to sites of other institutions and organisations with similar interest or those involved in similar initiatives locally and internationally. Conversely, the project's central webpage could also be included on the links of sites of other related institutions and organisations. By creating multiple access points on the Internet, the visibility and accessibility of the project will be strengthened as well.

These technologies can also enhance community participatory archiving. The creation of a digital community network website for instance, where community-based organisations can submit, disseminate their content about themselves, and share archival records with community members and a wider audience through participatory software is a real possibility (Flinn, 2010). In addition, Web 2.0 technology – especially the social media or social web part of it – can also be useful in enhancing the community archiving experience. This technology has shifted the way people communicate in a fundamental way. Web 2.0 is made up of several online tools and platforms where people share their opinions, thoughts, perspectives and experiences. Social web applications encourage much more interaction with the end user: the end user becomes not only a user of the application but also an active participant. Applications include blogging, podcasting, social bookmarking, web content voting and social networks, such as Facebook and Twitter. These various websites, services, and platforms can be used by the community archiving project not just to facilitate interaction with their users but also to promote their collections (Thorman, 2012:2).

#### **8.4.14 Ensuring preservation, access to and use of these community archival records**

Once these records are part of a collecting endeavour their preservation needs to be ensured. Newman (2011:95) suggests that appropriate storage facilities (including security, fire protection, climate control and space), appropriate equipment and supplies and basic conservation needs must be met.

Furthermore, Ford (1990:129) poses the question as to why archivists preserve archival collections in the first place. She explains that the primary reason is to make them available to users by providing access to them. Ensuring access to these records, especially post-deposit access – that is, to those records that become part of the proposed archival collections – is therefore also a critical recommendation of this study (Lu, 1993:106).

These means of ensuring access and the use of these materials include having effective finding tools to facilitate access, providing physical facilities that accommodate users, and having skilled individuals who assist in retrieving relevant records. What is more, promoting the collections and making potential users of these collections aware of them is vital to enhancing their use. Creating an online register of all the community's archival records that are available nationwide should also be considered. This national register could also be made available on the proposed archiving initiative's central webpage, discussed in section 8.4.13.

In addition, a document – such as a policy or a set of guidelines – which provides the rules governing access and use of these collections is also suggested. The input of the organisations contributing their records to any such collecting endeavour is vital to such a document. The guidelines should be compiled together with members of the community organisations and the proposed advisory and steering committees so that issues such as privacy, confidentiality of records, restrictions, security and so on, may be dealt with.

## **8.5 An integrated framework for collecting the records of South Africa's Portuguese community-based organisations in Gauteng**

Finally, bearing in mind the findings and recommendations made, the study suggests an archival collecting framework for the records generated by the Portuguese community-based organisations. In addition, one of the research objectives of this study was to propose a model which would demonstrate the processes, resources and other factors that may be necessary to establish and sustain an archival collecting plan for the

Portuguese community in South Africa successfully. Therefore, the framework includes a proposed documentation model, in the form of a diagrammatical representation.

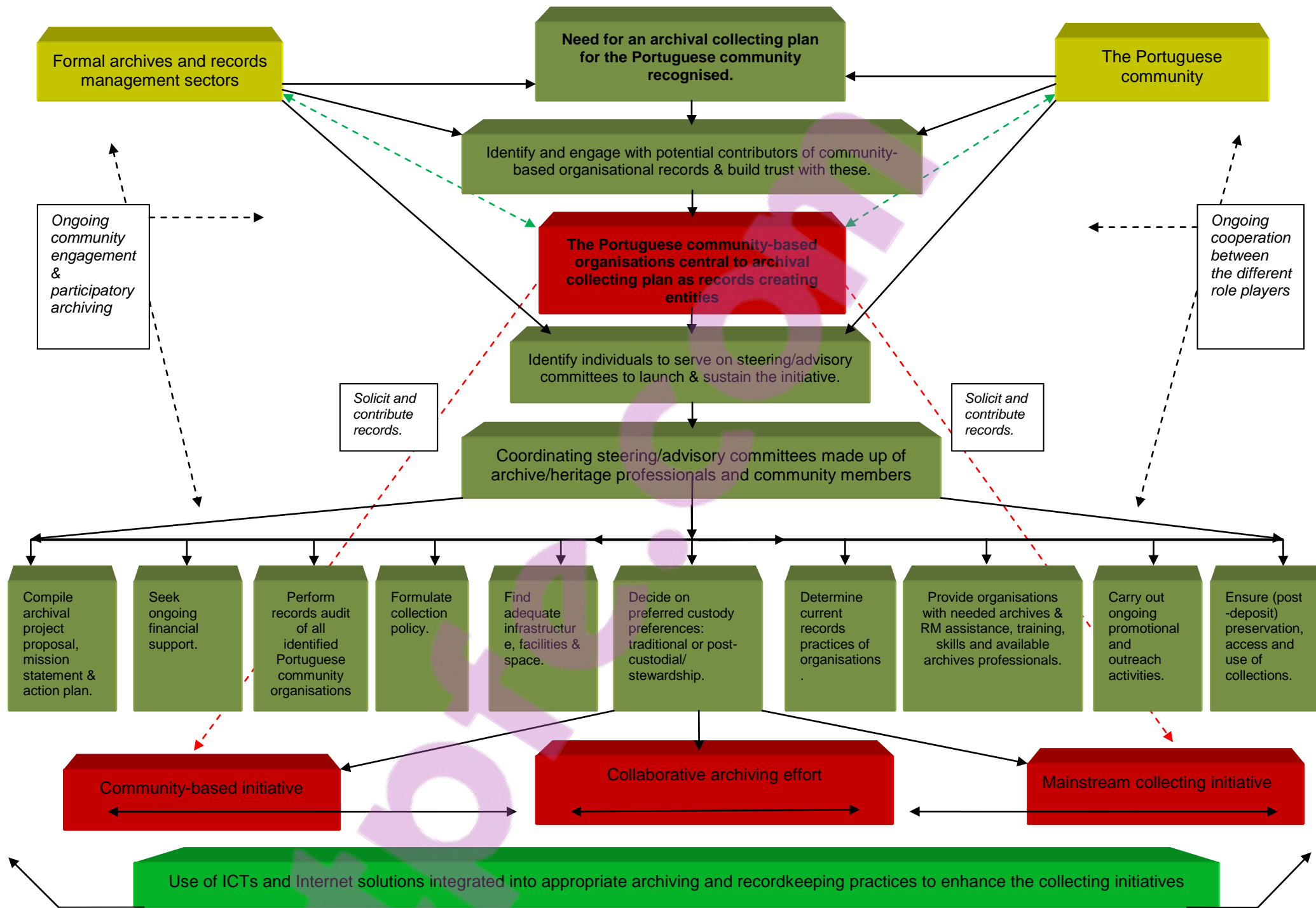
To design the model the researcher asked himself the question of what framework would contribute positively towards documenting the local Portuguese community. The goal, therefore, was to build a documentation model that may be implemented by those who are interested in documenting the contemporary social history and experiences of the Portuguese community, derived from the records originating from their community-based organisations, but lack strategies for adequately carrying out this archiving endeavour. This model was based on the literature reviewed, best practice observed in existing collecting initiatives, and the views and preferences of the records creators themselves, namely the participants from the Portuguese community-based organisations. In addition, the framework followed an integrated approach, taking into account divergent community archival collecting approaches, such as the state or other mainstream institutional acquisition of these records, these being preserved by the community organisations independently, and collaborative collecting partnerships.

### **8.5.1 The proposed model**

While archives and related literature discuss and present a variety of models, which suggest strategies geared to establishing an archival collecting initiative for community organisational records, these often present either a community-based model approach on the one hand, or a mainstream acquisition model, on the other hand. The community-based models found in the literature regularly illustrate the most appropriate strategies for establishing such an independent community repository and factors that may assist in contributing to the sustainability of such an approach (Karleback, 1996; Singer, 1997; Newman, 2011), whereas the mainstream acquisition models, for instance, outline techniques that formal archival institutions may adopt when acquiring records from community organisations and numerous methods for outreach to potential donors of community organisational records. Examples of such models include the studies by Aronson and Ford (2006); Church (2008); Flinn & Stevens (2009); DiVeglia (2010); and Loa (2012).

However, it became evident from the findings of this study that there was no framework nationally that could enable or facilitate the unique process of archiving the records of community-based organisations in South Africa, such as those of the Portuguese community in particular. Furthermore, due consideration of the results of the empirical investigation of the Portuguese organisations, showed that, often one archiving approach for their records was not agreed upon by all community-based organisations and members, and consensus was not reached.

Therefore, it was necessary to suggest a model that took into account the opposing preferences and circumstances of each organisation, so that their records would be given an equal opportunity of being included in any proposed archival collecting endeavour of the community. An integrated model, which makes allowance for all these inclinations and preferences, was thus necessary. This model took into account the existing models mentioned above (Church, 2008; Flinn & Stevens, 2009; DiVeglia, 2010; and Loa, 2012), however, it suggested for the most part an original framework developed from scratch so as to accommodate the unique needs of these South African Portuguese community-based organisations. The recommended model is presented as follows:



**Chart 8.1: Proposed model for an archival collecting framework for the records generated by South Africa's Portuguese community-based organisations**

### 8.5.1.1 Explanatory captions on the proposed model

The model follows a linear approach in which processes, resources and other factors impacting on a successful archiving plan of the community are presented. These intersect, happen concurrently, are ongoing, and they recur:

- Firstly, the model shows that the significance of documenting the social history, memories and experiences of the South African Portuguese community needs to be recognised by individual(s) from the formal archives, records and heritage sectors (such as by the researcher), and equally acknowledged by members of the community.
- Community-based organisations as records creators and potential archival contributors need to be identified by these individuals.
- These interested professionals from the archives and heritage sectors proactively reach out to these identified organisations. They ought to engage with these and their members to advocate the need for these community archival collections and grasp the value of their records.
- These professionals also strive to understand the context of these records-creating entities, and build relationships and trust with them.
- Together with these organisations, committed individuals to assist (advisory committee) and dynamic individuals to kick-start and drive (steering body) the collecting plan are identified.
- Advisory and steering committees are established and composed of diverse individuals (from the community, from mainstream archival institutions and other stakeholders) in order to ensure legitimacy.
- Community participation in an attempt to strengthen participatory archiving, input and engagement in all matters related to the endeavour are encouraged throughout the establishment of the project.
- During the launch stage, committee members compile a proposal outlining the mission statement, the purpose of the collecting endeavour, and an action plan.
- The committee members explain the disposition and custody options to these organisations to determine the organisations' preferences.
- Each organisation decides on its preferred approach, for instance, an independent community-based approach (featuring willingness and ability to establish and sustain itself), or a mainstream institutional approach (featuring willingness and openness to accommodating these records), a stewardship approach and so forth; and these preferences are respected.
- Cooperation, collaboration, partnerships are sought by the committee members to bring these different collecting approaches together.
- Mutual cooperation and input is encouraged, including technical expertise from professionals from the archives and heritage sectors, and knowledge of records context and structures from the community.



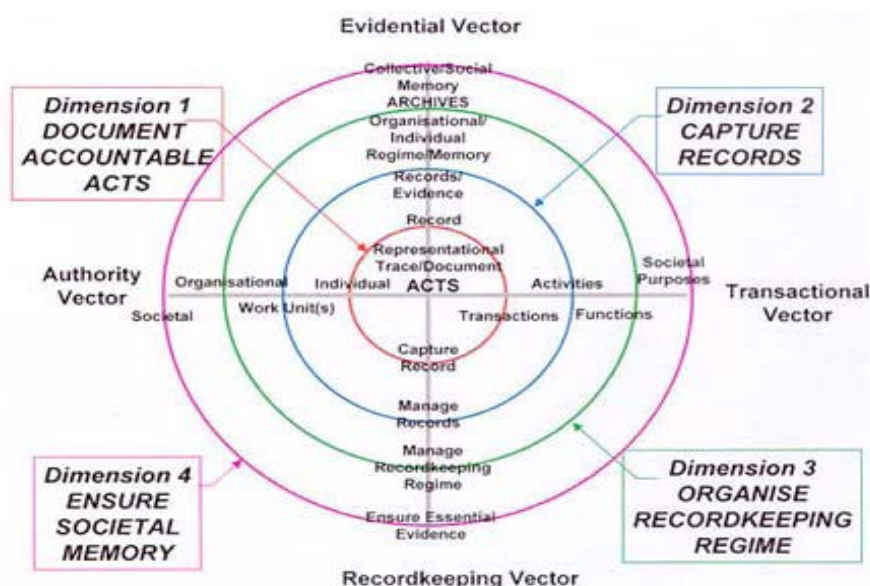
- To ensure sustainability, committee members seek funding resources and other forms of support from within the community and other interested parties to launch and sustain the collecting endeavour.
- Committee members perform an audit of the records created and kept at all the participating organisations.
- During the developmental stages, the committee members compile a collection policy.
- These committee members determine the recordkeeping practices of these organisations and their shortcomings.
- To ensure improved archives and records management practices, external professional assistance to these organisations is provided.
- Basic archives and records management training of staff, volunteers and other individuals attached to these organisations is also provided.
- A tailor-made manual providing guidance on recordkeeping procedures is compiled by the committee members and made available to these organisations.
- Materials for inclusion in the archival collecting plan are identified through systematic appraisal and disposal processes.
- Adequate space(s) and infrastructure to house potential materials are identified and prepared.
- Processes of soliciting and transferring/contributing the selected records to the space(s) that will house the archival collections are put into practice.
- Adequate management of the records that are made part of the archival collecting project are ensured.
- (Post-deposit) preservation, access and use of these collections are ensured.
- A national/regional register of archival records of these community organisations is compiled by the committee members.
- Ongoing promotion and outreach efforts to ensure sustainability and use of the collecting endeavour are carried out.
- During all stages of the development and implementation of the archival collecting plan, the project is enhanced with integrated ICTs and Internet solutions.

Besides the various processes, resources and other factors that may contribute to a successful collecting effort of the community's organisational records, the model was also designed to accommodate the various custody preferences these organisations may have regarding their records. This therefore indicates that not only is this the most appropriate model for the particular circumstances of the Portuguese community organisations investigated, but that the proposed model is the most likely to be accepted and supported by the organisations themselves since it allows for the divergent choices made by the organisations of the same community.

For instance, some organisations indicated that they may prefer to keep their own records by adopting a distributed community-based archiving approach. The advisory and/or steering committee(s) as the coordinating bodies would ensure that the records are properly preserved on the premises of these organisations by arranging for external professional assistance for these from the formal archives, records and heritage sectors. At the same time, the committee would ensure the smooth transfer of records to a mainstream institution for the organisations that choose such a collecting approach. In addition, records in the community-based collections and those transferred to a mainstream archival institution would be made equally accessible by means of the compilation of a national/regional register which would act as a central unifying finding aid for all these materials.

It should also be noted that certain aspects of the above model can be drawn into Upward's (2000) records continuum model discussed in the literature reviewed in chapter three. The records continuum model focuses on the management of records as a continuous process from creation to disposal. Effective management of records therefore requires ongoing cooperative interaction between the records creators, those managing current records up to the point of archiving. Although the eventual community archival collections are located in the archival 'dimension four' of the records continuum, that of 'ensuring societal memory', the entire process of managing community-based organisational records, which is displayed in the researcher's documentation model, is evident in all dimensions of the records continuum as well. This

includes 'dimension one' where the activities of the organisations are documented, and records consequently created by these, 'dimension two' where the records are captured, and 'dimension three' where the records are organised through a recordkeeping regime.



**Chart 8.2: Records continuum model (Upward 2000:123)**

Also, as was noted in chapter three, section 3.3.1.6, the records continuum model does not only recognise the importance of records for accountability and evidence, but equally emphasises their significance in preserving social and collective memory within a diverse context. This means it is mindful of those narratives which have been disregarded in the archival heritage. As with the researcher's proposed documentation model, it therefore also confirms the postmodernist and social history debate which interrogates the reason why the 'who' in society should be documented. The model is also open to the idea of how records arising from diverse sources are complementary and supplementary. In this capacity, it similarly relates to the debates on the total archives and national archival system in section 3.3.1.1, which support the premise that records from wide-ranging contexts such as from individuals, family records, private, state and organisational records – for instance, records created by organisations of underrepresented communities – provide different perspectives and help to create a more inclusive cross-sectional representation of societal memory.

Finally, the significance of this research endeavour was also augmented by the researcher's proposed best practice model because it not only designed an alternative and integrated framework for an archiving plan of the Portuguese community-based organisational records, but it is also hoped that the proposed model may be used – adapted and adjusted when necessary – as a dynamic and portable benchmark to facilitate the archiving efforts of any community in South Africa that strives to collect, manage, preserve and make accessible its community-based organisational records.

### **8.6 Suggestions for future research**

The study was significant because, for the first time, in-depth research was undertaken on strategies geared to documenting an under-documented community in South Africa by means of contributing their community-based organisational records. The study was additionally worthy because it may assist in bringing the contemporary social history, memories and experiences of a specific underrepresented group into our archives, that is, the story of the Portuguese community in South Africa.

However, although this study provided an answer to the main research question, through its findings it also identified research areas that require further pursuit. Firstly, because this investigation included a limited number of research participants in order to explore the topic – to be exact, specifically the Portuguese community organisations as potential contributors of archival records – it does not mean to speak for all community members, all archives and heritage professionals or all archival repositories in South Africa. Therefore, further research on other potential sources of community archival records such as personal papers originating from community individuals, community churches, oral histories and the like should also be undertaken as a means of documenting the history of the community. In addition, although this study touched on the willingness of mainstream institutions to accept and document these community records, in-depth research in this area is necessary to obtain a comprehensive picture of the attitudes of these institutions towards soliciting and acquiring these materials, and providing assistance.

More research could also include a study focusing specifically on strategies for strengthening the relationship between the Portuguese community and the formal archives and heritage sectors, and ascertaining how these might cooperate and collaborate. Such research could include communication with Portuguese individuals, leaders, business people, ordinary community members and other potential donors, to learn more about the materials they have and future plans for those materials. This could also be an opportunity to raise a broader awareness in the community about the importance of their records for future research.

Another potential area of research is to explore the impact of community archives. Although this study touched on some of the effects of these archives on the community itself and on broader society, especially their social impact – such as helping to understand the role the community has played in the country – more in-depth studies are needed on how they contribute and the particular types of impact they may have. For instance, how these archives may act as a cultural asset or how they may contribute towards identity formation, are examples of further research areas. Such studies would also strengthen the support for such endeavours not only by the community, but also from mainstream archival institutions and government, which would then be more willing to provide backing for such initiatives. Another potential area for investigation is to examine in detail and comprehensively the applications of ICTs/Web 2.0 and Internet solutions as ways of enhancing the collection, management, preservation and accessibility of these community-based records.

Finally, this study also left the door open for future research on documenting other communities that are underrepresented in South Africa's archives and heritage institutions. Comparative studies of these communities and how these might approach, or have approached, an archival collecting initiative could also be helpful. For example, thoroughly exploring initiatives in South Africa that have been functioning for a longer period – such as the South African Jewish Board of Deputies Rochlin Archive – could reveal important information on the sustainability and performance of these. Similar studies

could also be conducted in South Africa to establish how the records of organisations of other communities are being managed. In addition, as was noted in the literature reviewed, documenting the experiences of underrepresented communities is a worldwide phenomenon. Therefore, much could also be learned by researching international endeavours in greater depth and more extensively, and comparing their approaches and solutions to our local South African context. These should include other African countries as well, to establish how records of community-based organisations are managed on the rest of the continent.

### **8.7 Concluding comments**

Past collecting policies of mainstream institutions in South Africa have skewed the collection of non-public records in such a way that the experiences of a number of communities were poorly documented. Participation of certain groups – such as religious and ethnic minority groups, indigenous black communities, immigrant groups, and so on – has been limited in South Africa’s archival collections, and therefore the historic picture presented by archival repositories understates the diversity of the nation’s actual heritage. However, in the context of a newly formed democracy based on equality, there needs to be an effort within the archives and heritage sectors to incorporate all these underrepresented voices (Harris, 2002:80).

Although the Portuguese community has contributed to and has been affected by the historical trends, events, and issues that have shaped South African economic life, politics, and culture, its contemporary history has been mostly omitted from the archival heritage of the country. There are many topics, issues, events, individuals and organisations relating to the community that could be the subject of documentation efforts. This study investigated South African Portuguese community-based organisations in Gauteng and their records. Up to now, these organisational records have for the most part been omitted from the archival heritage of South Africa because there have been no organised programmes to identify, collect, preserve and make them available. If these conditions persist and large parts of the Portuguese community’s records are lost, the history that survives will be incomplete and

misleading. Therefore, the aim of this research was to seek strategies that favour these records as part of an archival collecting plan of the community, so that the story of the community could become part of the written history of South Africa.

In order to ensure – as far as possible – the rendering of an authentic narrative of the South African Portuguese experiences, past and present, the participation and support of the local South African Portuguese community was seen as imperative. The Portuguese community are experts on their lives and accomplishments. Without their stories, their primary sources and a willingness of community members and organisations to contribute their records to an archival collecting endeavour, the informational wealth or heritage of our nation would, no doubt, be diminished.

This study also presented some of the reasons this collection is not taking place. Lack of financial resources and staff, lack of support from mainstream archives and heritage institutions, and concentration by these institutions on other, more pressing collection initiatives, were some of the reasons archives are not actively seeking collections related to this population. The study also identified some other difficulties and challenges associated with collecting some of these materials, for instance building trust with the creators of these records and their concerns for privacy or the confidentiality of their materials. Difficulties in terms of language and cultural barriers were also acknowledged in the course of such a process. Then there is the fact that, often, these community organisations do not recognise the potential archival value of their documentation.

However, notwithstanding these difficulties, the opportunity to collect materials from a relatively recently arrived population and to document its history now – as opposed to several decades from now when many of these materials might have been lost or forgotten – might be passing us by. Therefore, devoting even a modest amount of time and resources to dealing with these records can bring significant benefits to these organisations and the community, and ultimately help preserve the history and experiences of the Portuguese in South Africa.

Achieving this aim of documenting the contemporary social history of the local Portuguese community will demand collaboration and cooperation between the community, their organisations and their members, and the formal archives, records and heritage sectors in South Africa. It will also require archivists and other heritage workers to welcome and actively engage in such initiatives by seeking and incorporating the stories of these underrepresented communities in our archives or, as Harris (2002:85-86) put it, it entails embracing "... the principle of hospitality to 'otherness', a need to respect every 'other,' invite every 'other' into the archive so that, whether we are procuring archival materials, appraising and describing these, or making these available, "we listen intently for the voices" of those who are excluded. It also needs to be said that incorporating the stories of underrepresented communities, such as the Portuguese community in South Africa, in the country's archival heritage, will require the resourcefulness, drive and dynamism of committed individuals who are willing and prepared to establish and maintain such archival collecting efforts.

Finally, to conclude, the words of Newman (2011:89-90) seem appropriate here:

"Community archives reflect our culture and identity and are therefore an important part of our heritage. Without them, or without appropriate management of them, our ability to understand where we come from is diminished. ... Regimes for the management and preservation of community archives must therefore be enduring and sustainable".

## **8.8 Summary**

The background to the study, the problem statement and the aims of the research with definitions of key concepts were presented in chapter one. Chapter two provided a context for the study of the Portuguese community in South Africa, and chapter three outlined the theoretical framework and reviewed the literature relating to the research topic. Chapter four analysed the websites of existing institutions involved in documenting the under-documented, community archiving and related practices while, in chapter five, the research methodology and design of the study were explained.



The previous chapter, chapter seven, interpreted the results of the study. Using the findings discussed in that chapter and the results presented and analysed in chapter six, this chapter provided a summary of the study. In addition, this chapter presented the conclusions and the recommendations for the study. Consideration of the implementation of a model which could assist in enabling the process of collecting and archiving the records of community-based organisations in South Africa – such as those of the Portuguese community – was also advocated. Finally, areas for further research were identified.

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HSRC see Human Sciences Research Council of South Africa

NARS see National Archives and Records Service of South Africa

UCL see University College London

UNISA see University of South Africa

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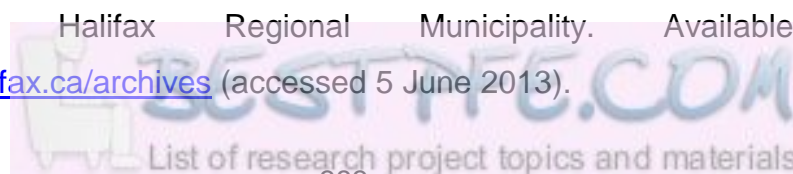
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## **APPENDIX A: INVITATION TO PARTICIPATE IN THE STUDY**

Date:

Name of participant:

Name of organisation:

Email address:

Contact number:

Dear participant

I am a student in the Department of Information Science at the University of South Africa (UNISA). I am conducting a research study to gather information for my doctoral thesis. My study aims include understanding possible strategies towards collecting and preserving the records of South African Portuguese community organisations as a means of safeguarding the history and experiences of this community in this country. As a representative of one of the larger Portuguese community-based organisations in Gauteng, I am inviting you to serve as a participant in this study. What you have to say about the records of your organisation is of extreme importance to me as a researcher, and I therefore hope that you will be interested in volunteering to participate. Apart from their importance to me, in addition, the findings of the study are intended to benefit the Portuguese community organisations and community members.

Your participation will entail an individual face-to-face interview of approximately one hour. I may also need to contact you for a follow-up call if the need arises to clarify any of your responses as I am analysing my data. With your permission, I will record our interview and make some handwritten notes. The recordings will be used to facilitate the analysis of your responses. Your responses will however be reported anonymously. Only I, and if necessary, my study supervisors, will listen to the recordings. After the study is concluded, all recordings will be erased.

Please be assured that participation in the study is strictly voluntary. You are free to decline participation, cancel an interview or withdraw from the study at any time.

If you have questions about your participation, the study or its findings, please feel free to contact me.

Thank you in advance for your time and consideration. I look forward to meeting with you.

Yours sincerely

Antonio Rodrigues  
Department of Information Science  
UNISA Doctoral Student  
Email address: [trodriqu@unisa.ac.za](mailto:trodriqu@unisa.ac.za)  
Tel: (012) 429-6568



## **APPENDIX B: CONSENT AGREEMENT FORM**

You are being asked to take part in a research study. Your participation in the study is completely voluntary. You may refuse to join, or may withdraw your consent to be in the study, for any reason, at any time.

Details of the study are discussed below. Please read the following carefully, so that you can make an informed choice about whether or not to participate in this study.

### **Details of the study:**

My study aims include understanding possible strategies for collecting and preserving the records of South African Portuguese community organisations as a means of safeguarding the history and experiences of this community in this country. As a representative of one of the larger Portuguese community-based organisations in Gauteng, I am inviting you to serve as a participant in this study. What you have to say about the records of your organisation is of extreme importance to me as a researcher, and I therefore hope that you will consent to participate in this study. In addition, the findings of the study are intended to benefit the Portuguese community organisations and community members.

Your participation will entail an individual face-to-face interview of approximately one hour, which includes a total of 69 questions. I may also need to contact you for a follow-up call if the need arises to clarify any of your responses as I am analysing my data. With your permission I will record our interview and make some handwritten notes. The recordings will be used to facilitate the analysis of your responses. Your responses will however be reported anonymously and will not include any private or identifying information. Only I, and if necessary, my study supervisors, will listen to the recordings. After the study is concluded, all recordings will be erased.

I have read the information provided above and I voluntarily agree to participate in this research study.

- I agree.
- I disagree.

---

Name:

All research which includes human volunteers is governed by the UNISA Research Policy that works to protect your rights and welfare. If you have questions or concerns as a research subject, you may contact, anonymously if you wish, the Research Directorate of the University of South Africa.

If you have questions about your participation, the study or its findings, please feel free to contact me.

Thank you in advance for your time and consideration.

Sincerely,

Antonio Rodrigues  
Department of Information Science  
UNISA Doctoral Student  
Email address: [trodriqu@unisa.ac.za](mailto:trodriqu@unisa.ac.za)  
Tel: (012) 429-6568

**APPENDIX C:  
SEMI-STRUCTURED INTERVIEW GUIDE ADMINISTERED TO THE  
PORTUGUESE COMMUNITY-BASED ORGANISATIONS**

**Name of organisation:**

**Date and time of interview:**

**Name of interviewee:**

**Address:**

**Email:**

**Telephone number:**

**Website:**

**Introduction**

Thank you very much for allowing me to interview you about your organisation and the records your organisation creates, receives and keeps.

I am a student in the Department of Information Science at the University of South Africa (UNISA). I am conducting a research study to gather information for my doctoral thesis. My study aims include understanding possible strategies for collecting and preserving the records of South African Portuguese community organisations as a means of safeguarding the history and experiences of this community in this country. As a representative of one of the larger Portuguese community-based organisations in Gauteng, I have invited you to serve as a participant in this study. What you have to say about the records of your organisation is of extreme importance to me as a researcher. In addition, the findings of the study are intended to benefit the Portuguese community organisations in South Africa and community members in general.

(The interviewer also presents definitions of the concepts of 'records management' and 'archives' to the interviewee in order to establish a common understanding of these terms. This is done so that the interview can proceed with the participant having an appreciation of the underlying theme of the interview and the study.)

Please assist me by responding orally to the following questions. Your answers will be recorded and they will be treated confidentially. They will be used only for the purposes of this study.

**PART 1 – Biographical data about the interviewee:**

1. Please describe your current job title or designation in this organisation.
2. How long have you worked for (or been attached to) the organisation?
3. What are your responsibilities?

**PART 2 – General information about the organisation:**

4. How long has your organisation been in existence for?
  - Less than a year
  - 1-5 years
  - 6-10 years
  - More than 10 years
  - Not sure
5. What is the purpose of the organisation? What are its main programmes and/or activities?
6. What type of organisation is it (for example, an NPO, NGO, etc.)?
7. 'Who' are its members (type of members)?
8. What is the membership number? Is the membership increasing or decreasing?
9. How many employees does the organisation have (or how many people are attached or 'do work' for the organisation), including full-time, part-time employees and/or volunteers?
10. What type of funding do you receive? From where or from whom?

**PART 3 – Information about the records created and kept by the organisation:**

11. Does your organisation create, receive and keep records to reflect and to provide evidence of the activities and the programmes the organisation is involved in – such as emailing, keeping minutes of meetings, compiling reports, financial records; creating membership records; invitations, programmes and photographing of events, and so on?

12. What kind of documents do you (and other persons attached to the organisation) create during your daily work associated with the organisation and its activities? These may include:

- personal notes and hand-written notes
- correspondence and letters
- emails
- annual reports
- pamphlets
- membership records
- personnel files
- policy documents
- organisational meeting minutes
- financial records
- invitations to events and event programmes
- photographs
- organisational publications such as newsletters
- website content (including older versions)
- any other kind of records

13. How far back do the records go – to when the organisation was created?

14. Do you feel that many of the activities and communications at the organisation are performed without any recorded form of evidence, for example, simply by phoning or oral interaction, but without any written record of the communication?

15. What is the volume of your documents (size of the collection), i.e. how many records do you have/how many boxes or how much office space do these occupy?

**PART 4 – The recordkeeping practices of the organisations (the status quo):**

16. Does your organisation have a location or some sort of centralised space where the organisation's records are kept?

If yes, where do you keep these records? Where are they located?

17. How are these kept (type of files, filing cabinets and so on)?

18. Do you have some sort of filing system to organise these records?

19. Does someone organise these records?

If yes, who is responsible for looking after the records? Is this person dedicated to that function only, or does he or she perform other duties at the organisation as well?

20. How do you locate your organisation's records when you want to consult them?

21. Do you have some sort of instrument to assist in locating your records?

No.

Yes. If yes, what is it, for example a manual card index, or an online tool or any other means?

22. Do you have a records management and/or archives programme in your organisation?

If yes, describe it.

If not, have you ever thought of establishing a records and/or archival programme to help with the management of your documents?

23. Have you ever heard of companies that assist with the management of organisations' current records, such as Metro File or Document Warehouse (i.e. that help with the filing and management of the records you are still using)?

If yes, have you ever considered approaching such companies to assist you with managing and caring for your records. If so, which institution, and did you contact them?

24. Would you welcome the assistance from an outside organisation or company to assist you with managing your organisational records that you use for your day-to-day administrative work?

No. If not, why?

Yes. If so, why and from whom would you preferably welcome that assistance?

25. Do you feel you have the resources (human, financial, equipment and infrastructure) to manage and care for your records?

26. Do you regularly get rid of or throw away records you no longer feel you need?

If yes, how do you do it or how do you make such decisions?

27. What factors have contributed to your organisation's decision not to keep some (or all) of its records?

28. Does your organisation keep any records after they have served their administrative purposes?

29. What intentions does your organisation have for the future of its records? (What are your future plans for your organisation's documents?)

30. If you do not keep records for a long period of time or permanently, do you feel that some of these should, however, be kept indefinitely?

- No.
- Not sure.
- Yes. If yes, why?

31. Who should be involved in decisions regarding which records should be kept for long-term preservation?

32. Do you at times decide with intent that certain records need to be kept for longer periods or indefinitely? If yes, what type of records?

33. Are you aware of any law or legislation that requires your organisation to keep certain records for a certain period of time?

- No.
- Yes. If yes, what type of records and for how long?

34. Have you ever gone back to consult any of your organisation's records? If yes, why (or for what purpose)?

And if yes, how easy or difficult was it for you to find the records you were looking for?

35. Has anyone outside your organisation wanted to consult the records of your organisation?

If yes, why?

36. Do you think some of your organisation's records need to be kept for a long period of time or permanently?

If yes, why?

37. Do you believe records produced by your organisation only have immediate administrative value?

38. Are you of the opinion that these records have no use for others?

39. Do you think the records your organisation has created (or has) may interest or contain information that may interest people outside your organisation?

If yes, why? If not, why?

40. Do you believe some of your records need to be kept for the long term or do you feel that they can all be destroyed after they have served their day-to-day administrative or legal use/purposes?

41. Do you believe that it would be useful to keep some of these records so that someone could study the work your organisation has done over the years in the Portuguese community?

If yes, which records do you think should be kept in order for someone in, for instance, 10 years from now to learn about what you and your organisation are doing today?

42. Have you ever considered making the records your organisation keeps known to people outside your organisation?

44. If you have never yet made your records available beyond your organisation, would you consider making your records available to the public for research purposes in the future, and so on? If not, why not?

**PART 5 – Determining whether the organisations are supportive and willing to be involved in any initiative archival collecting effort for the community:**

45. Do you believe that establishing an archival collection that preserves and conveys the history, the experiences and the life of the Portuguese community in South Africa is a good idea or important?

If yes, why?

If not, why?

46. Do you feel that your records could contribute in any way to preserving the past and history, memories and experiences of the Portuguese community and to sharing this story with the community and the broader South African public?

47. Will you, in principle, consider being involved in any community archival collecting initiative, independent of what form it might eventually take?



48. Will you consider serving on an advisory body to give any such initiative assistance with issues that may need to your guidance as a member of the community?

49. Would you contemplate a more active involvement, for instance, being part of a coordinating body that actually drives, manages or leads the initiative, such as a steering committee?

50. Would your organisation consider providing any type of financial support or funding for such an initiative?

51. Do you believe that your organisation would consider providing a central space to house any proposed archival collection for the community?

52. Would your organisation be willing to contribute any potential archival records by making them part of a community collecting effort?

If yes, why?

If not, why?

**PART 6 – Preferences regarding custody of their potential archival records:**

53. If you were to keep some of your records for a long-term purpose, such as availability for research, would you prefer that these records be:

- Kept at your organisation with no outside assistance;
- Kept at your organisation, with archives and records management advice from professional archivists from mainstream archives;
- Transferred to a central Portuguese community-based centre or organisation;
- Transferred to a mainstream archive with an existing interest in Portuguese history, such as a university that has a Portuguese studies department;
- Transferred to a mainstream institution that collects materials of various immigrant communities, such as a migrant studies centre;
- Transferred to the National Archives;
- Or any other suggested location(s)?

Please elaborate on your preferences. Explain why.

54. Have you ever (or have you ever considered) depositing/giving/donating or transferring any of your organisation's documents to a library, archive or any other institution?

Is yes, why? Which institution? Which kind of records? Why did you consider that institution?

If not, why?

55. Would you prefer to keep your own records after they have served their administrative purposes or would you prefer to transfer them for safekeeping to a central location such as an archives? Why?

56. Do you think it would be advantageous to have a central location where records from various Portuguese organisations were transferred to after they have served their administrative purposes?

If yes, do you prefer this central location to be a Portuguese community organisation or can it be any institution that is capable of providing this service?

57. Would you feel comfortable if your organisational records were transferred to an institution outside the Portuguese community for safekeeping?

58. Are you aware of the National Archives and what they do?

59. Would you consider a collaborative partnership with a mainstream archive, such as the National Archives, for example, accepting professional assistance from them on how best to organise/manage your records, how to preserve them, and accepting decisions on which records might be best to keep for long-term research purposes?

60. Have you any ideas you would like to share on how Portuguese organisations in Gauteng (or South Africa) might work together to establish a space where records of the community could be cared for and made available?

61. In your view, 'who' (which individuals or organisation) should initiate the establishment of such a space?

62. If a central space or location were established to house the records of the Portuguese community, should those records rather be managed by:

- a community member with necessary training;
- a trained professional who is not from the Portuguese community;

- does not matter, as long as the person has the necessary training.

63. Do you have any ideas on possible approaches or strategies that may be adopted to house the community-based records generated by your organisation and/or other South African Portuguese community organisations?

**PART 7 – Additional information and opinions:**

64. Do you think the Internet and other information technologies may be used in any way to enhance the management, preservation and accessibility of these records? If yes, how?

65. Do you believe, if these records were made available to the public, that they should also be made accessible on the Internet? Why?

66. Have any of your records been digitised?

If yes, which types of records?

If not, would you welcome the digitisation of some of your records? Why?

67. If a space were set up to preserve community records, how and who could promote these collections so that members of the community and the general public could become aware of them and use them?

68. Where could funding and/or any other forms of support for such an initiative be sought?

**Closing:**

69. Would you like to share any other thoughts?

*Thank you for your participation!*

**APPENDIX D:  
THANK-YOU MESSAGE TO PARTICIPANTS**

Dear (Participant)

I want to thank you again for your participation in my research study. Your responses in the interviews have provided me with valuable insights into the management and preservation of your organisational records.

I am extremely grateful for your time and for allowing me to have a conversation with you. Upon completing my study, I look forward to informing you about my conclusions and the strategies that Portuguese organisations may want to implement so as to assist in preserving the history and experiences of the community in South Africa.

Kind regards

Antonio Rodrigues  
Department of Information Science  
UNISA Doctoral Student  
Email address: [trodriqu@unisa.ac.za](mailto:trodriqu@unisa.ac.za)  
Tel: (012) 429-6568

**APPENDIX E:  
GUIDE TO THE UNSTRUCTURED INTERVIEWS WITH THE NATIONAL  
ARCHIVES AND RECORDS SERVICE OF SOUTH AFRICA  
AND MAINSTREAM UNIVERSITIES IN GAUTENG**

1. Would your institution be willing or able to accommodate records of community-based organisations, such as those of South Africa's Portuguese community in Gauteng?
2. Would your institution be prepared to offer archives and records management assistance to these organisations?
3. Do you believe your institution could assist South African Portuguese community-based organisations with managing their records and preserving their archives, and if so, how could they assist these organisations?
4. Would your institution consider any form of collecting partnerships and collaboration with these community-based organisations?

(Interview questions for the National Archives and Records Services of South Africa, and the archives or special collections departments of the University of Johannesburg - UJ, the University of Pretoria - UP, the University of South Africa - UNISA, and the University of the Witwatersrand - WITS).

Antonio Rodrigues  
Department of Information Science  
UNISA Doctoral Student  
Email address: [trodrigu@unisa.ac.za](mailto:trodrigu@unisa.ac.za)  
Tel: (012) 429-6568