SCHOOL OF LIBRARY, ARCHIVES AND DOCUMENTATION STUDIES (SLADS) –BAGAMOYO.

RESEARCH REPORT ON:

ASSESSMENT ON THE IMPLEMENTATION OF LEGAL FRAMEWORKS ON RECORDS MANAGEMENT PRACTICES IN PUBLIC OFFICES. A CASE STUDY OF BAGAMOYO MUNICIPAL COUNCIL.

BY

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A Research Report Submitted at the School of Library, Archives and Documentation Studies for the Partial Fulfillment of the award of Ordinary Diploma in Records and Archives Management.

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CERTIFICATION

I hereby certify that I have read this research report entitled ***"Assessment on the Implementation of Legal Frameworks on Records Management Practices in Public Offices*****:** A Case Study of Bagamoyo Municipal Council (BMC)" and recommend it for acceptance by the School of Library, Archives and Documentation Studies (SLADS), Bagamoyo, in partial fulfillment of the requirements for the award of the **Ordinary Diploma in Records and Archives Management**.

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(Supervisor)

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DEDICATION

I dedicate this research report to my family, whose encouragement, patience, and unwavering support throughout this study made its successful completion possible.

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LIST OF ABBREVIATIONS

BMC	Bagamoyo Municipal Council
ERM	Electronic Records Management
ICT	Information and Communication Technology
ISO	International Organization for Standardization
PO-RALG	President's Office – Regional Administration and Local Government
RAMD	Records and Archives Management Department
RM	Records Management
RMA	Records Management Assistant
RMS	Records Management System
SLADS	School of Library Archives and Documentation Studies
SLADSSO	School of Library, Archives and Documentation Studies Students Organization
URT	United Republic of Tanzania

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ABSTRACT

This study assessed the implementation of legal frameworks on records management practices in public offices, using Bagamoyo Municipal Council as a case study. The study was conducted to identify the existing legal frameworks governing records creation and capturing, assess the level of staff awareness of legal frameworks governing records management, and identify the challenges affecting the implementation of these legal frameworks. Effective implementation of legal frameworks is essential for promoting proper records management practices, accountability, transparency, and efficient service delivery in public institutions.

The study adopted a case study research design and employed a mixed research approach. Data were collected from 15 respondents through questionnaires and interviews. Quantitative data were analyzed using frequencies and percentages with the aid of Microsoft Excel and presented in tables, while qualitative data obtained through interviews were analyzed using thematic analysis and supported by respondents' quotations.

The findings revealed that Bagamoyo Municipal Council has various legal frameworks, including the Records and Archives Management Act, Records Management Policy, and Registry Procedures Manual, to guide records management practices. The study further found that although most staff had a high level of understanding of these legal frameworks, the majority had not received formal training on their implementation. In addition, the findings showed that the implementation of legal frameworks is affected by several challenges, including lack of training, poor management support, inadequate resources, and limited staff awareness. These challenges contribute to delays in records retrieval, misfiling, and loss of records.

The study concludes that the effective implementation of legal frameworks is fundamental to improving records management practices in public offices. However, addressing challenges related to training, awareness, resource allocation, and management support is essential for achieving full compliance with legal requirements. The study recommends that Bagamoyo Municipal Council should strengthen staff training programs, increase awareness of legal frameworks, allocate adequate resources to records management units, and enhance management support to improve compliance and overall records management practices.

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CHAPTER ONE

INTRODUCTION AND PROBLEM SETTING

1.0 Introduction

This chapter provided an overview of the study on the assessment of the implementation of legal frameworks on records management in public offices. It presented the background of the study, statement of the problem, research objectives, research questions, significance of the study, and scope of the study. The chapter established the foundation of the research by explaining the context and importance of implementing legal frameworks in ensuring effective records management practices.

1.1 Background of the Study

The relationship between effective records management and efficient public service delivery has attracted considerable attention among records management practitioners and researchers. Effective records management plays a vital role in ensuring proper and timely service delivery in public organizations (Ndenje-Sichalwe, 2010). To achieve a high level of records management, organizations must develop and strengthen a good corporate records-keeping culture that is guided and controlled by well-documented legal frameworks (Maseh & Mutula, 2015). These legal frameworks include records management policies, legislation, and standards that guide how records are created, maintained, accessed, and disposed of within an organization.

Legal frameworks for records management support proper record creation and utilization, thereby improving organizational efficiency and effectiveness. Public organizations are required to implement these frameworks in their records management practices to enhance daily operations, accountability, and service delivery. The existence of clear legal frameworks promotes transparency and openness to customers, which in turn increases customer satisfaction (Shepherd & Ennion, 2007). Furthermore, legal tools provide clear guidelines, procedures, and standards that help organizations control and manage records effectively (Maseh & Mutula, 2015).

African countries have also developed various legislations to address challenges affecting records management systems. For example, South Africa established several laws to support

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effective records management in government institutions, including the National Archives and Records Service of South Africa Act No. 43 of 2000 and its Regulations of 2002, the Promotion of Access to Information Act No. 2 of 2000, and the Electronic Communications and Transactions Act No. 25 of 2002. These legal frameworks aim to promote accountability, transparency, and efficient management of records within public organizations.

The Government of the United Republic of Tanzania (URT) has also made significant efforts to strengthen records management through the establishment of the Records and Archives Management (RAM) Act No. 3 of 2002, the ICT Policy of 2003, the National Records and Archives Management Policy of 2011, and the Registry Procedures Manual of 2007. These frameworks were developed to guide best practices in records creation, maintenance, and use. However, despite these initiatives, challenges such as inadequate legal compliance, weak implementation mechanisms, lack of proper procedures for protecting vital records, and insufficient policies persist.

1.2 Statement of the Problem

The Government of the United Republic of Tanzania has made significant efforts to establish legal frameworks to guide records and archives management in public institutions. These efforts include the enactment of the Records and Archives Management Act No. 3 of 2002, the National Security Act No. 3 of 1970, the National Records and Archives Management Policy of 2011, the Records and Archives Management Regulations of 2007, the Registry Procedures Manual of 2007, the Desk Instructions for Registry Staff, Records Users of 2009, and the Guidelines and Procedures for Managing Personnel Records in Public Offices of 2013 and the cybercrime act of 2015.

Despite, the tremendous efforts made by The Government of the United Republic of Tanzania to develop legal frameworks, public organizations still face poor records management in creation, capturing, receipt, use and classification. According to Kamatula (2010), public organizations face misfiling of records, mixing records from different subjects in one file, delays in file processing and retrieval, lack of vital records plans, and inadequate availability of personnel records which affects pension payment which consequently lead to customer complaints, increased costs and poor service delivery.

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1.3 Objectives of the Study

The general objective of this study was to assess the implementation of legal frameworks for records management at Bagamoyo Municipal Council in Pwani Region.

1.3.1 Specific objectives

i. To identify the existing legal frameworks governing records creation and capturing at Bagamoyo Municipal Council.
ii. To assess the level of awareness of staff on the legal frameworks governing records management at Bagamoyo Municipal Council.
iii. To identify the challenges affecting the implementation of legal frameworks in records management at Bagamoyo Municipal Council.

1.4 Research Questions

1. What are the existing legal frameworks used in records creation and capturing at Bagamoyo Municipal Council?
2. What is the level of awareness of staff on the legal frameworks governing records management at Bagamoyo Municipal Council?
3. What are the challenges affecting the implementation of legal frameworks in records management at Bagamoyo Municipal Council?

1.5 Significance of the Study

This study was important to both registry staff and users of records in public offices. For registry and records and archives management staff, including Records Management Assistants, Records Managers, and Archivists, the study enhanced their knowledge and professional capacity in implementing legal frameworks governing records and archives management. Proper understanding and compliance with these legal frameworks contributed to improved records creation, classification, filing, storage, retrieval, and disposition throughout the records lifecycle.

For records users, including public servants, management, and members of the public, the effective implementation of legal frameworks ensured that records were accurate, reliable, and

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accessible whenever they were required. This supported informed decision-making, improved service delivery, and promoted accountability and transparency within public offices.

1.6 Scope of the Study

Scope of the study refers to the boundaries or coverage of the research (Kothari, 2004). This study was limited to assessing the implementation of legal frameworks on records management practices at Bagamoyo Municipal Council in Pwani Region. Geographically, the study was conducted at Bagamoyo Municipal Council, located in Pwani Region, Tanzania. The study was carried out over a period of 17 weeks, from January to May 2026.

The study utilized both primary and secondary data. Primary data were collected directly from respondents in the field through questionnaires and interviews. Secondary data were obtained from published and unpublished sources, including books, journals, articles, reports, and other relevant documents related to records management and legal frameworks.

1.7 Limitations of the Study

The study encountered several limitations during the research process. One of the limitations was inadequate financial resources. The study required funds for activities such as transportation to the study area, printing of research tools, data collection, and other related expenses. Limited financial resources affected the researcher's ability to conduct some activities extensively; however, the researcher managed the available resources effectively to accomplish the objectives of the study.

Another limitation was time constraints**.** The study was conducted within a limited period, which affected the time available for data collection, analysis, and report writing. Since the researcher had to complete the study within the given academic schedule, it was sometimes challenging to collect detailed information from all targeted respondents. However, proper planning and time management enabled the researcher to complete the study successfully.

The study was also affected by limited research experience. As a developing researcher, some challenges were experienced in areas such as data collection, analysis, and interpretation of findings. This limitation was managed through guidance from supervisors, consultation of research materials, and continuous improvement of research skills throughout the study period.

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CHAPTER TWO

LITERATURE REVIEW

2.0 Introduction

This chapter presents a review of literature related to the study on the implementation of legal framework in records management practice in public offices. The chapter consists of the theoretical framework, conceptual framework, and empirical literature review based on the objectives of the study.

2.1 Theoretical Literature Review.

A theoretical framework is therefore based on theory and serves as a conceptual structure that explains how different factors related to a research problem are logically connected. It helps the researcher to understand and explain the relationships among variables that are considered important in the study. In addition, the theoretical framework describes how these variables interact with each other and how they influence the situation being investigated.

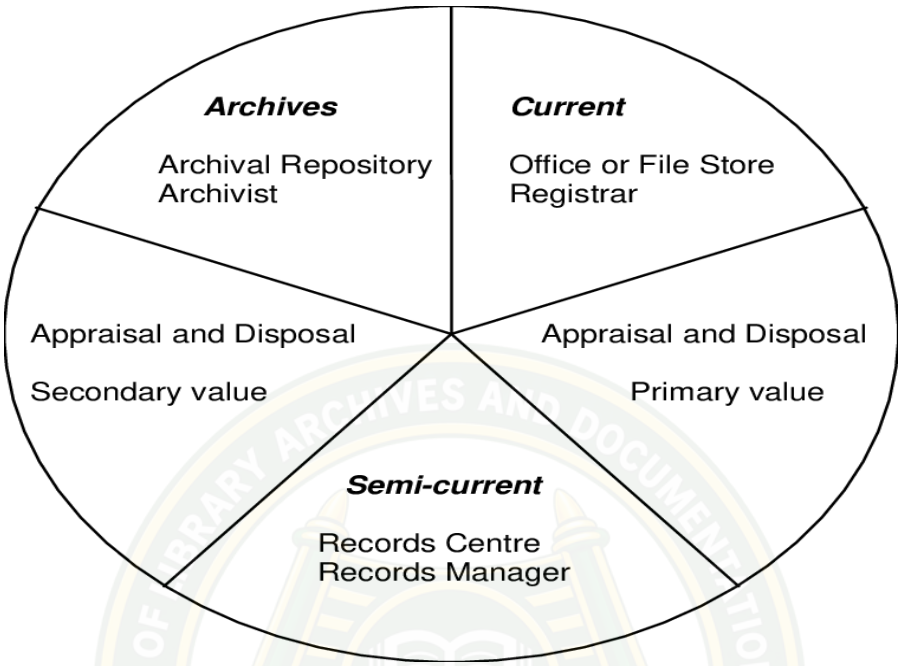
(a) The Records Life Cycle Theory

The Records Life Cycle Model was developed by Schellenberg in 1956 in North America, who explained that records have a life similar to living organisms. According to this model, records go through several stages from their creation to their final disposal. The model describes that records are “born” when they are created; they “live” when they are maintained and actively used, and they eventually “die” when they reach the stage of disposal. Since the 1950s, different scholars have expanded the records life cycle concept, suggesting models with three, five, or even more stages depending on how records are managed in organizations.

The first is the current stage, where records are frequently used by the organization and are kept in offices for easy access. The second is the semi-current stage, where the value of records for daily business begins to decline, but they are still kept for administrative, legal, or financial purposes such as auditing. At this stage, records are usually stored in records centers while waiting for appraisal and final decision. The last stage is the non-current stage, where records no

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longer have business value but may still be preserved for historical or research purposes. At this stage, archival institutions may take responsibility for preserving records with long-term value.



Source: (Franks, 2013).

Figure 2.1: Records Life Cycle throughout their entire life

Relevance to research topic

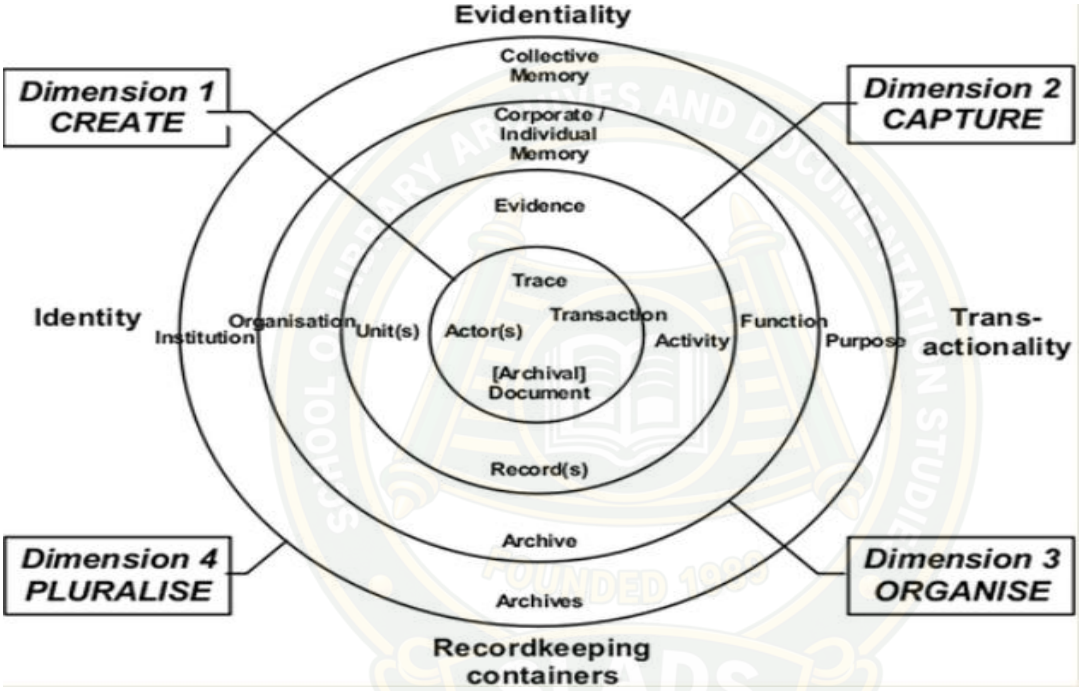
This theory is relevant to the study since it proposes that records need to be managed and administered well from creation to deposition stage for the efficiency and effectiveness of the organization.

(b) The Records Continuum Model

The Records Continuum Model was developed in the 20th century by Frank Upward. The model emphasizes an integrated approach to records management, where records managers and archivists work together to ensure the continuity and effective management of recorded information (Upward, 2001). The model focuses on the management of records from the stage of planning and creation, through their use and maintenance, to their final preservation as archives. Unlike the traditional records life cycle model, the Records Continuum Model views records management as a continuous process where records are managed throughout different dimensions and contexts rather than through separate stages.

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The concepts of records management include creation, capture, organization, and pluralization. Creation refers to establishing proper practices for producing records that document the core activities and transactions of an organization, ensuring reliable communication and evidence of operations. Capture involves controlling and documenting records, especially received documents, by adding metadata to show their origin and authenticity. Organization focuses on arranging and storing records systematically to ensure they remain accessible and form part of the organization's corporate memory.



Source: Piggott & McKemmish (1994).

Figure 2.2: Records Continuum Model

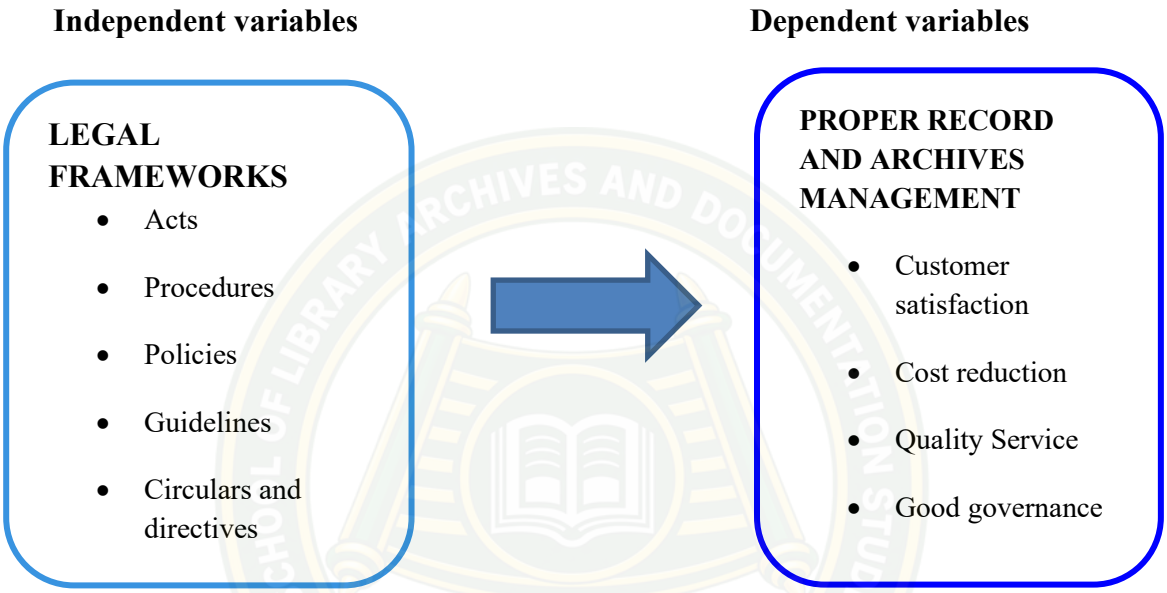
Relevance of the Records Continuum Model

The Records Continuum concept addresses the management of records as an ongoing process with no end and separate part. Therefore, the records continuum model was be relevant to the suggested study on the assessment on the implementation of legal framework for Records and Archives Management since emphasizes the integration between record management officers and archivists on implementing effectively policies, regulations, guidelines and Acts so as to improve service delivery in organizations.

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2.2 Conceptual Framework

The framework below conceptualized the interrelationships between legal frameworks with Records and Archives Management. The aim of conceptual framework is to assist the researcher to organize and explain the relationship among interlinked concepts (variables). The study aimed to assess the implementation of legal frameworks for Records and Archives Management in public organizations.



Source: Researcher (2026).

Figure 2.3: Conceptual Framework

The independent variable of the study was be Legal Frameworks for managing public sector records and archives, this was be examined on how records and archives management legal frameworks such as Acts, procedures, guidelines and policies if properly formulated and enforced can ensure effectiveness in record and Archives Management in public organizations.

The dependent variable of the study depends on the implementation of legal framework, if the organization implement effectively legal framework there was be positive impact on Records and Archives Management. The following was be the positive impact if the management was implement effectively Records and Archives Management legal frameworks.

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2.3 Empirical Literature Reviews

The study conducted by Nabombe (2012) who assessed records management at the courts of law in Zambia. Specifically, the study sought to examine court registries compliance with records management legislation, policy and international records management of standards, assessing staff levels in registries, their competences and satisfaction with work context factors as well as investigating risks affecting court's records management.

The study revealed that, court registries lacked guidance on how to manage records due to lack of a records management policy and the failure to apply internationally recognized records management standards. The findings also showed that over staffing in registries, lack of a clear policy on in-service training and dissatisfaction with work context factors might have influenced poor work culture and morale among registry clerks.

The study conducted by Kamatula (2018) on a framework for e-records in support of e-government implementation in the Tanzania public service. The study based on interpretive research paradigm and adopted qualitative research method. A sample size of 25 respondents was be drawn from four public offices namely the Ministry of Public Service (PO-PSM), Tanzania Communications Regulatory Authority (TCRA), E-Government Agency (e-GA) and the Records and Archives Management Department (RAMD).

Further findings revealed that although various legislations, policies, and regulations existed as records management legal frameworks, their implementation was not effective, particularly in areas related to records management practices, staff compliance, and operational procedures. Records personnel, action officers, and IT staff were found to have limited knowledge of records management procedures and practices. The study also revealed that there was poor involvement of the Records and Archives Management Department (RAMD) in Electronic Records Management (ERM), a situation that hindered effective implementation and slowed down proper service delivery. However, the study had a gap as it focused on institutions such as PO-PSM, TCRA, RAMD, and e-GA rather than Bagamoyo District Council (BDC), and it employed only qualitative methods for data collection.

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CHAPTER THREE

RESEARCH METHODOLOGY

3.0 Introduction

This chapter presented the systematic approach that was employed to assess the implementation of legal frameworks in records management practices at Bagamoyo Municipal Council. It described the research design, research approach, area of the study, study population, sample size, and sampling techniques used to guide the study. The chapter also explained the methods used for data collection, data analysis procedures, and ethical considerations that were followed throughout the research process.

3.1 Research Design

According to Babbie and Mouton (2005), a research design is a structured plan or blueprint used to conduct an investigation in order to obtain valid evidence for answering research questions. In this study, a descriptive survey design was adopted. This design was considered appropriate because it allowed the collection of both quantitative and qualitative data from a relatively large group of respondents.

The descriptive approach enabled a comprehensive understanding of the implementation of legal frameworks in records management practices at Bagamoyo Municipal Council. Data were collected using structured questionnaires and interviews to ensure adequate coverage of the study topic, including staff awareness of legal frameworks, levels of compliance, and challenges encountered in records management practices.

3.2 Research Approach

A research approach is a systematic plan that guides the researcher in conducting a study efficiently and effectively (Daniel, 2019). According to Neuman (2020), there are three main research approaches, namely qualitative, quantitative, and mixed methods. This study adopted a mixed-method approach, combining both qualitative and quantitative methods in data collection and analysis.

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The mixed-method approach enabled the researcher to obtain detailed and specific information on the implementation of legal frameworks in records management practices at Bagamoyo Municipal Council. It also allowed the use of both numerical data and narrative descriptions during analysis, providing a broader understanding of staff awareness, compliance, and challenges in managing records. This approach ensured a comprehensive view of the problem by capturing both measurable trends and in-depth insights.

3.3 Area of the Study

Ngechu (2014) defines the area of study as the geographical or institutional boundaries within which a research is conducted. This study was conducted at Bagamoyo Municipal Council in Pwani Region, with a specific focus on the records and archives management department.

The council was selected because it is among the key public institutions in the region responsible for managing a large volume of records and archives. Therefore, it provided an appropriate setting for assessing the implementation of legal frameworks in public sector records management practices.

3.4 Population of the Study

According to Creswell (2013), a population is a group of individuals who share similar characteristics that distinguish them from other groups. The population of this study consisted of all records and archives management staff working at Bagamoyo Municipal Council. This included Records Management Assistants, Records Managers, Archivists, and other support staff directly involved in records creation, capturing, storage, and use.

The total estimated population was approximately 50 staff members. This population enabled the study to adequately represent all personnel involved in the implementation of legal frameworks in records management at the council. It also ensured that the findings reflected the experiences, awareness, and challenges faced by staff engaged in managing records within the institution.

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Table 1: Estimated Distribution.

Job Category	Estimated Number
Records Management Assistants	15
Record Manager	5
Archivist	5
Support Staff	20
HODs	5
Total	**50**

Source: Field Study (2026)

3.5 Sample Size

Sample size refers to the number of respondents selected from a larger population to represent the entire group within the study area (Kothari, 2012). In this study, the sample size was determined based on the nature of the study, the size of the target population, availability of respondents, time, and financial resources. Since the study focused on the implementation of legal frameworks in records management, respondents were selected based on their direct involvement and knowledge of records management practices.

The study involved a total population of approximately 50 staff members, including Records Management Assistants, Records Managers, Archivists, and other staff involved in records creation, capturing, storage, and use. From this population, a sample size of 15 respondents was selected. The sample comprised 10 records staff and 5 Heads of Departments and Managers who provided both operational and managerial perspectives regarding the implementation of legal frameworks in records management.

The selected sample was considered adequate because it included respondents with relevant knowledge and experience in the area under investigation. Although the sample size was smaller than the total population, it provided sufficient information to address the research objectives while considering practical limitations such as time, financial resources, and accessibility of respondents.

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3.6 Sampling Techniques

Although simple random sampling is a common technique that gives every member of a population an equal chance of selection and reduces bias (Fraenkel & Wallen, 2016), it is not fully applicable to the entire population in this study. Simple random sampling was only applied to select 10 records staff, as this group is relatively large and heterogeneous, making random selection feasible and appropriate to ensure representativeness.

For other groups, such as Heads of Departments, Managers, and specialized staff, simple random sampling is not suitable due to their smaller numbers and specialized roles. Instead, purposive sampling was used to select these key informants intentionally based on their expertise and relevance to the study. Thus, while simple random sampling ensures fairness and representation among records staff, purposive sampling ensures the collection of in-depth and relevant data from professional staff, balancing representativeness with practicality.

3.6.1 Simple Random Sampling Technique

Simple random sampling is a probability sampling technique in which every member of the population has an equal chance of being selected. This technique helps to reduce selection bias and increases the representativeness of the sample (Fraenkel & Wallen, 2016). In this study, simple random sampling was used to select 10 records staff from Bagamoyo Municipal Council.

3.6.2 Purposive Sampling Technique

Purposive sampling, also known as judgmental sampling, is a non-probability sampling technique in which participants are selected based on specific characteristics or criteria relevant to the study. In this research, purposive sampling enabled the selection of individuals with particular knowledge and experience in managing public records and implementing legal frameworks.

For this study, purposive sampling was used to select 5 Heads of Departments and Managers who were directly involved in overseeing records management activities at Bagamoyo Municipal Council. Their involvement provided detailed information regarding the implementation of legal frameworks, level of compliance, and challenges affecting records management practices.

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3.7 Data Collection Method

Data collection is a critical phase in any research study, as it involves gathering information necessary to answer the research questions. This study employed a mixed-methods approach, combining both quantitative and qualitative data collection techniques to provide a comprehensive assessment of the implementation of legal frameworks in records management.

3.7.1 Primary Data

Primary data refers to information collected firsthand by the researcher specifically for the purpose of addressing the research objectives. In this study, primary data was collected using questionnaires and interviews.

Questionnaires were administered to selected records staff because they enabled the researcher to collect quantitative data from several respondents within a short period. The method was useful in obtaining information about staff awareness, level of compliance, and challenges encountered in implementing records management legal frameworks. Questionnaires also allowed respondents to provide their views independently and provided data that could be easily analyzed using frequencies and percentages.

Interviews were conducted with Heads of Departments and Managers because they possessed administrative knowledge and experience regarding records management policies, procedures, and implementation processes. The interview method enabled the researcher to obtain detailed qualitative information, seek clarification, and understand deeper issues related to the implementation of legal frameworks and challenges affecting records management practices at Bagamoyo Municipal Council.

3.7.2 Secondary Data

Secondary data refers to information that has been collected previously for other purposes but is relevant to the current study (Krishnaswami, 2013). For this study, secondary data was obtained from published and unpublished sources, including books, journals, articles, reports, policies, and internet resources that discuss records management practices and legal frameworks in public institutions.

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3.8 Questionnaire Method

The questionnaire consisted of structured questions designed to quantify aspects of the implementation of legal frameworks in records management at Bagamoyo Municipal Council. This may include Likert-scale items to assess staff awareness, adherence to policies, and perceptions of challenges, as well as demographic questions to contextualize responses.

3.8.1 Interview Method

According to Riley (2020), an interview is a method of obtaining data by communicating directly with respondents. In this study, face-to-face interviews were conducted with 5 Heads of Departments and Managers. This method enabled the researcher to obtain accurate information from knowledgeable respondents, ask follow-up questions, and clarify responses, thereby providing detailed qualitative data relevant to the implementation of legal frameworks in records management.

3.8.2 Data Analysis

Data analysis involves examining, categorizing, and interpreting data to identify patterns, relationships, and trends (Kothari, 2010). In this study, quantitative data from questionnaires was coded and analyzed using descriptive statistics to summarize respondents' awareness, compliance, and challenges. Qualitative data from interviews was transcribed, coded, and thematically analyzed to identify key insights regarding the implementation of legal frameworks. Coding was categorizing data to facilitate systematic analysis and interpretation, enabling the researcher to draw meaningful conclusions about records management practices at Bagamoyo Municipal Council.

3.9 Ethical Consideration

Daniel (2020) defines ethics as moral standards that can be followed in situations where there can be potential harm or actual harm to an individual or a group. The awareness of ethical issues in research protects the integrity of the researcher and ensures honest research results. The researcher observed legal and ethical matters within the study area. The respondents were aware of reasons, objectives, and significance of the research study due to clear explanations to them.

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CHAPTER FOUR

DATA ANALYSIS, PRESENTATION AND DISCUSSION OF FINDINGS

4.0 Introduction

This chapter presents the analysis, presentation, and discussion of data collected through questionnaires and interviews. The findings are organized into two main sections: demographic information of respondents and findings presented according to the research objectives. Specifically, the study sought to identify the existing legal frameworks governing records creation and capturing at Bagamoyo Municipal Council, assess the level of staff awareness on legal frameworks governing records management, and identify challenges affecting the implementation of legal frameworks in records management practices at Bagamoyo Municipal Council.

Qualitative data obtained through interviews were analyzed using thematic analysis to identify major themes and explanations related to the implementation of legal frameworks in records management. Quantitative data collected through questionnaires were analyzed using descriptive statistics and presented in tables and percentages to simplify interpretation and understanding of the findings.

4.1 Demographic Characteristics of Respondents

This section presents demographic characteristics of respondents involved in the study. The study involved a total of 15 respondents from Bagamoyo Municipal Council, where 10 respondents provided quantitative data through questionnaires and the remaining 5 respondents provided qualitative information through interviews and their responses were presented in quotation form.

The demographic characteristics considered included gender, age, education level, position, and working experience, which were important in understanding respondents' views on the implementation of legal frameworks in records management practices.

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4.1.1 Age of Respondents

The study collected data from respondents with different age groups. The findings revealed that 3 respondents equal to (30%) were aged between 18–25 years, 6 respondents equal to (60%) were aged between 26–35 years, and 1 respondent equal to (10%) was aged between 36–45 years, while none of the respondents were aged 46 years and above.

Table 4.1.1 Age of Respondents

Age group	Frequency	Percentage (%)
18-25	3	30%
26-35	6	60%
36-45	1	10%
46 and above	0	0%
Total	**10**	**100**

***Source*: Field Data, (2026).**

4.1.2 Education Level

The study also sought to determine the education level of respondents. Findings showed that 8 respondents equal to (80%) had diploma education level, while 2 respondents equal to (20%) were degree holders. None of the respondents had certificate or postgraduate education levels. The findings indicate that the majority of respondents had diploma education level as indicated in Table 4.1 above.

Table 4.1.2 Level of education

Level of education	Frequency	Percentage (%)
Certificate	0	0%
Diploma	8	80%
Degree	2	20%
Postgraduate	0	0%
Total	**10**	**100**

***Source*: Field Data, (2026).**

4.1.3 Working Experience

The study further examined the working experience of respondents. Findings revealed that 2 respondents equal to (20%) had working experience below one year, 4 respondents equal to (40%) had working experience between 1–3 years, 3 respondents equal to (30%) had experience

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between 4–6 years, and 1 respondent equal to (10%) had working experience of 6 years and above.

Table 4.1.3 working experience of Respondents

Working experience	Frequency	Percentage (%)
Below 1 year	2	20%
1 – 3 years	4	40%
4 - 6 years	3	30%
6 years and above	1	10%
Total	**10**	**100**

***Source*: Field Data, (2026).**

4.2 Existing Legal Frameworks Available for Guiding Records Creation and Capturing

This section assessed the existing legal frameworks available in guiding records creation and capturing at Bagamoyo Municipal Council. The findings were obtained through questionnaires administered to records staff and interviews conducted with Heads of Departments and Managers.

Table 4.2: Existing Legal Frameworks Available in the Office (N = 10)

Response	Frequency (n)	Percentage (%)
Records and Archives Management Act	1	10%
Records Management Policy	1	10%
Registry Procedures Manual	2	20%
All of the above	6	60%
Total	**10**	**100%**

***Source:* Field Study (2026)**

The findings in Table 4.2 indicate that 6 respondents equal to (60%) stated that all legal frameworks, including the Records and Archives Management Act, Records Management Policy, and Registry Procedures Manual, were available in the office to guide records creation and capturing. Furthermore, 1 respondent equal to (10%) identified the Records and Archives Management Act only, while another 1 respondent equal to (10%) mentioned the Records Management Policy, and 1 respondent equal to (10%) identified the Registry Procedures Manual. The findings suggest that the majority of respondents were aware of the presence of different

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legal frameworks used in guiding records management practices at Bagamoyo Municipal Council.

During the interview, one Head of Department stated that:

> *"..The council uses different legal frameworks such as the Records and Archives Management Act, registry procedures manual, and records management policies to guide records creation, capturing, storage, and retrieval activities."*

The interview findings imply that legal frameworks play an important role in guiding records management practices and ensuring proper handling of records within the council.

4.3 Effectiveness of Legal Frameworks in Guiding Records Creation and Capturing.

This section examined whether legal frameworks are effectively guiding records creation and capturing at Bagamoyo Municipal Council. The data were collected through questionnaires administered to records staff and interviews conducted with Heads of Departments and Managers.

Table 4.3: Effectiveness of Legal Frameworks in the Office (N = 10)

Response	Frequency (n)	Percentage (%)
Yes	5	50%
No	2	20%
Not Sure	3	30%
Total	**10**	**100%**

Source: **Field Study (2026)**

The findings in Table 4.3 indicate mixed responses regarding the effectiveness of legal frameworks in guiding records creation and capturing. Out of 10 respondents, 5 respondents equal to (50%) indicated that legal frameworks are effectively guiding records management practices in the council. However, 2 respondents equal to (20%) stated that legal frameworks are not effectively guiding records creation and capturing, while 3 respondents equal to (30%) were not sure about their effectiveness.

The findings suggest that although legal frameworks exist and are recognized within the council, their implementation is not fully effective across all staff. Some respondents demonstrated

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confidence in their application, while others indicated uncertainty or lack of effectiveness, which may reflect differences in awareness, training, or enforcement.

During interviews, Record Manager stated that:

> *"..Legal frameworks exist, but sometimes they are not fully followed in daily records management activities due to workload and lack of strict supervision."*

Another respondent added that:

> *"..Some staff are not fully aware of how to apply the legal frameworks, which affects proper records creation and capturing."*

These results indicate that although legal frameworks are in place, their effective application is still a challenge in ensuring consistent records management practices within the council.

4.4 Frequency of Use of Legal Frameworks in Records Creation and Capturing

This section examined how often legal frameworks are used by staff when creating and capturing records at Bagamoyo Municipal Council. The data were collected through questionnaires administered to records staff and interviews conducted with Heads of Departments and Managers.

Table 4.4: Frequency of Using Legal Frameworks (N = 10)

Response	Frequency (n)	Percentage (%)
Always	2	20%
Sometimes	2	20%
Rarely	6	60%
Never	0	0%
Total	**10**	**100%**

Source: **Field Study (2026)**

The findings in Table 4.4 show that the majority of respondents 6 (60%) indicated that they rarely use legal frameworks when creating and capturing records. Furthermore, 2 respondents (20%) reported that they always use legal frameworks, while another 2 respondents (20%) stated

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that they sometimes use them. None of the respondents indicated that they never use legal frameworks.

The findings suggest that although legal frameworks exist within the council, their actual usage in daily records management activities is limited. The high percentage of respondents who rarely use them indicates inconsistency in application, which may negatively affect proper records creation and capturing processes.

Among of Head of Department explained that:

> *"..In practice, we sometimes rely on experience rather than referring to legal frameworks, especially when work pressure is high."*

These responses show that limited use of legal frameworks may be influenced by workload, lack of regular reference to guidelines, and insufficient enforcement within the organization.

4.5 Level of Understanding of Legal Frameworks

This section assessed the level of understanding of legal frameworks among staff at Bagamoyo Municipal Council. The data were collected through questionnaires administered to records staff and interviews conducted with Heads of Departments and Managers.

Table 4.5: Level of Understanding of Legal Frameworks (N = 10)

Response	Frequency (n)	Percentage (%)
High	6	60%
Moderate	3	30%
Low	1	10%
Total	**10**	**100%**

Source: **Field Study (2026)**

The findings in Table 4.5 indicate that the majority of respondents 6 (60%) had a high level of understanding of legal frameworks governing records management. Additionally, 3 respondents (30%) reported a moderate level of understanding, while 1 respondent (10%) indicated a low level of understanding.

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The results suggest that most staff members are generally familiar with legal frameworks guiding records management practices in the council. However, the presence of respondents with moderate and low understanding indicates that not all staff have sufficient knowledge to effectively apply these frameworks in daily operations.

Record Manager remarked that:

> *"..Some staff understands the legal frameworks well because of experience and training, but others still struggle to apply them correctly in daily records management tasks."*

Another respondent added that:

"Continuous training is needed because understanding is not uniform among all employees."

These views imply that although awareness and understanding of legal frameworks exist within the council, continuous capacity building is necessary to ensure consistent application across all records management staff.

4.6 Training on Records Management Legal Frameworks

This section examined whether respondents had received any training on records management legal frameworks at Bagamoyo Municipal Council. The data were collected through questionnaires administered to records staff and interviews conducted with Heads of Departments and Managers.

Table 4.6: Training on Records Management Legal Frameworks (N = 10)

Response	Frequency (n)	Percentage (%)
Yes	3	30%
No	7	70%
Total	**10**	**100%**

Source: **Field Study (2026)**

The findings in Table 4.6 show that the majority of respondents 7 (70%) had not received any training on records management legal frameworks, while only 3 respondents (30%) indicated that they had received training. This suggests that training opportunities on legal frameworks are limited within the council.

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Also Record Manager added that:

> *"..Without regular training, it becomes difficult for staff to fully comply with all legal requirements in records management."*

The results imply that the lack of training may contribute to inconsistencies in the application of legal frameworks in records management practices. Staff who have not been trained may find it difficult to fully understand and correctly implement legal requirements in their daily duties, which can affect records creation, capturing, and overall management efficiency.

During interviews, Head of Department stated that:

> *"..Training opportunities are not frequent, and most staff learn through experience rather than formal training on legal frameworks."*

These views show that inadequate training is a key factor affecting effective implementation of records management legal frameworks in the council.

4.7 Challenges in Implementing Legal Frameworks in Records Management

This section examined the challenges faced by staff in implementing legal frameworks in records management at Bagamoyo Municipal Council. The data were collected through questionnaires administered to records staff and interviews conducted with Heads of Departments and Managers.

Table 4.7: Challenges in Implementing Legal Frameworks (N = 10)

Response	Frequency (n)	Percentage (%)
Lack of training	4	40%
Inadequate resources	1	10%
Lack of awareness	2	20%
Poor management support	3	30%
Total	**10**	**100%**

Source: **Field Study (2026)**

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The findings in Table 4.7 indicate that the most common challenge is lack of training, reported by 4 respondents (40%). This was followed by poor management support, mentioned by 3 respondents (30%), lack of awareness reported by 2 respondents (20%), and inadequate resources identified by 1 respondent (10%).

The results suggest that insufficient training is the major barrier affecting the effective implementation of legal frameworks in records management practices. Poor management support and lack of awareness also contribute significantly to weak compliance with established legal requirements, while inadequate resources further limit proper records management activities.

During interviews, one respondent stated that:

> *"..Most staff are not well trained on legal frameworks, which makes it difficult to apply them correctly in daily records management tasks."*

Another respondent added that:

> *"..Sometimes management does not give enough support in terms of training and resources, which affects implementation of procedures."*

These findings indicate that multiple interrelated challenges affect the implementation of legal frameworks, ultimately impacting the efficiency and effectiveness of records management practices at the council.

4.8 Implementation Difficulties of Legal Frameworks in Records Management

This section examined whether legal frameworks in records management face implementation difficulties at Bagamoyo Municipal Council. The data were collected through questionnaires administered to records staff and interviews conducted with Heads of Departments and Managers.

Table 4.8: Implementation Difficulties of Legal Frameworks (N = 10)

Response	Frequency (n)	Percentage (%)
Yes	7	70%
No	3	30%
Total	**10**	**100%**

Source: **Field Study (2026)**

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The findings in Table 4.8 reveal that the majority of respondents 7 (70%) agreed that legal frameworks face implementation difficulties in records management at Bagamoyo Municipal Council, while 3 respondents (30%) disagreed. This indicates that most staff recognize the existence of challenges affecting the effective application of legal frameworks in daily records management practices.

The results suggest that despite the availability of legal frameworks, their implementation is hindered by various operational and institutional challenges. These difficulties may include lack of training, insufficient awareness, inadequate supervision, and limited resources, which collectively affect compliance with established records management procedures.

During interviews, Record Manager stated that:

> *"..Legal frameworks are available, but in practice it is not always easy to implement them due to workload and limited supervision."*

Another Head of Department added that:

> *"..Some procedures exist on paper, but they are not fully followed in daily operations."*

4.9 Effects of Challenges on Records Management Practices

This section examined how the challenges in implementing legal frameworks affect records management practices at Bagamoyo Municipal Council. The data were collected through questionnaires administered to records staff and interviews conducted with Heads of Departments and Managers.

Table 4.9: Effects of Challenges on Records Management Practices (N = 10)

Response	Frequency (n)	Percentage (%)
Delays in retrieval	1	10%
Misfiling of records	1	10%
Loss of records	1	10%
All of the above	7	70%
Total	**10**	**100%**

Source: **Field Study (2026)**

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The findings in Table 4.9 show that the majority of respondents 7 (70%) indicated that all listed challenges affect records management practices, including delays in retrieval, misfiling of records, and loss of records. Additionally, 1 respondent (10%) mentioned delays in retrieval, another 1 respondent (10%) identified misfiling of records, and 1 respondent (10%) indicated loss of records.

The results suggest that the challenges in implementing legal frameworks have a significant negative impact on records management practices at the council. These challenges lead to inefficiencies in records handling, including difficulties in retrieving files, improper filing systems, and risks of losing important records, which ultimately affect service delivery and organizational performance.

One respondent stated that:

> *"..When legal frameworks are not properly followed, it becomes difficult to retrieve files quickly, and sometimes records are misplaced."*

Another respondent added that:

> *"..These challenges reduce efficiency and delay service delivery to clients."*

These views indicate that poor implementation of legal frameworks contributes directly to operational inefficiencies in records management within the council.

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CHAPTER FIVE

SUMMARY, CONCLUSION, AND RECOMMENDATIONS

5.0 Introduction

This part consists of summary of the main findings of the study, conclusion, and implication of the study to the policy, recommendation of the study to public organizations and government in general and area for further studies.

5.1 Summary of the Findings

The study aimed to assess the implementation of legal frameworks on records and archives management practices in public organizations at Bagamoyo Municipal Council. A sample size of 15 respondents was used to collect the intended data, where questionnaires and interview methods were employed in data collection. The qualitative data collected were analyzed using thematic analysis, and respondents' quotations were used to support the findings. Quantitative data were coded and analyzed using Microsoft Excel, and presented in tables and percentages according to the study objectives.

5.1.1 Existing Legal Frameworks and Records Creation, Capturing and Use

The findings revealed that records at Bagamoyo Municipal Council are created in different formats, including paper-based, electronic, and hybrid formats, although electronic records were found to be more commonly used due to the presence of computerized systems. It was also found that legal frameworks are partially followed in records creation, as most documents contain reference numbers, official signatures, file numbers, and stamps, which reflect compliance with established procedures. However, some staff still rely on informal communication methods such as memos, which are not fully aligned with legal requirements.

Regarding records capturing, the findings indicated that legal frameworks are only partially implemented. The council uses alphabetical and alphanumeric filing systems to capture records, although these systems were reported to be less effective compared to more advanced keyword-based systems. This indicates that records capturing practices are still not fully aligned with modern standards and legal expectations.

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5.1.2 Implementation of Legal Frameworks in Records Distribution and Use

The findings showed that legal frameworks are partially followed in records distribution. It was observed that no official file is allowed to move without being recorded in the file movement register, as guided by the Registry Procedures Manual of 2007 and Desk Instructions for Registry Staff and Records Users of 2009. However, it was also found that not all users sign when receiving official files, indicating weak compliance with procedures among some staff.

In terms of records use, the findings revealed low adherence to legal frameworks. Some official documents were not properly handled, as users sometimes place files on desks, exposing them to damage or loss. This improper handling of records contributes to misplacement, destruction, and inefficiency in records management. The study further noted that failure to follow established procedures remains a common challenge in public institutions, negatively affecting records integrity and service delivery.

5.1.3 Factors Limiting Legal Compliance in Records and Archives Management

The study identified several factors that hinder effective implementation of legal frameworks in records management. These include inadequate resources such as insufficient storage facilities, limited budget allocation for records management activities, and low priority given to records and archives management programs within the council.

Besides, the study found that low awareness of legal frameworks among staff contributes to weak compliance. Some employees are not fully aware of existing policies and procedures, while others lack adequate training due to the absence of regular capacity-building programs. Furthermore, organizational culture was identified as a challenge, where some staff, despite understanding legal requirements, do not consistently comply with them. These combined factors negatively affect the effective implementation of legal frameworks in records and archives management practices.

5.2 Conclusion of the Findings

Generally, the link between effective records management and efficient public service delivery has been widely recognized among practitioners and researchers. Effective records management is essential for improving service delivery, accountability, and transparency in public

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organizations. To achieve an effective records management system, there is a need to develop a strong corporate records-keeping culture guided by legal frameworks such as Acts, policies, regulations, and standards. These legal frameworks ensure proper creation, capturing, use, and management of records within public institutions. Therefore, their implementation is essential for improving efficiency, effectiveness, and transparency in organizational transactions and service delivery.

The findings of the study revealed that the implementation of legal frameworks in records creation, receipt, and capturing at Bagamoyo Municipal Council is partial. Most employees create records electronically, while ensuring that documents contain reference numbers, appropriate file classifications, and official stamps. In records receipt, confidentiality is generally maintained through the use of envelopes and official stamps. However, in records capturing, the systems used were found to be less effective, indicating weak compliance with modern records management standards.

Also, the study found that legal frameworks in records distribution are partially followed, as no official file is moved without being recorded in the file movement register as guided by the Registry Procedures Manual of 2007. However, compliance is inconsistent, as not all users sign when receiving files, and some procedures are not fully adhered to. Furthermore, the use of records was found to be weak, as improper handling of files such as placing documents on desks exposes them to damage, misplacement, and possible loss, which negatively affects records integrity and service delivery.

Moreover, several factors were identified as limiting the effective implementation of legal frameworks in records management. These include inadequate resources, insufficient budget allocation, low priority given to records management functions, low staff awareness of legal frameworks, inadequate training opportunities, and an organizational culture of non-compliance. These challenges collectively hinder the proper implementation of legal frameworks and reduce the efficiency of records management practices in the council.

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5.3 Policy Implications

The study findings suggest that effective implementation of legal frameworks in records and archives management requires attention from both the government and public institutions. Without proper compliance with legal frameworks, it becomes difficult to ensure the availability of reliable and authentic information for decision-making, accountability, and service delivery. The study shows that many records practitioners are not fully complying with the required legal frameworks, which affects the quality of records management systems in public organizations.

To improve the situation, there is a need for continuous training of records practitioners, allocation of adequate budgets, and increased prioritization of records management units. Strong support from top management and responsible authorities such as PO-RALG/records management authorities is also necessary. Furthermore, public institutions should ensure that national and institutional legal frameworks are effectively communicated to staff, awareness is enhanced, and proper implementation tools are provided. Strengthening these areas was improve compliance and enhance effective records and archives management in public organizations.

5.4 Recommendations

The study recommends that public organizations should establish clear and well-structured policy frameworks for records management. Management should strengthen records management procedures by designing and implementing effective policies that guide and encourage employees to perform their duties efficiently. This was improve compliance with legal frameworks and enhance proper management of organizational records and resources.

Moreover, public organizations should invest more in staff training on records and archives management. Continuous professional development should be emphasized to build a strong culture of learning within organizations. This approach is more effective compared to occasional seminars and workshops, which may not adequately equip staff with the required competencies for effective records management practices.

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5.5 Area for Further Studies

This study focused on assessing the implementation of legal frameworks on records and archives management in public organizations at Bagamoyo Municipal Council in Pwani Region. It is recommended that further studies should be conducted using a larger sample size and covering multiple public institutions to enhance the generalizability of the findings.

Future studies should also focus on specific areas of records management such as records storage and maintenance, as well as records disposition, including transfer to records centers and physical destruction. Additionally, further research should be conducted in private organizations in Tanzania to compare the implementation of legal frameworks between public and private sectors in records and archives management.

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RESEARCH QUESTIONNAIRE

Dear respondents,

I am **ERICK** a student of SLADS pursuing Diploma in Records and Archives Management. Currently I am conducting a research project titled "***Assessment on the Implementation of Legal Frameworks on Records Management Practices in Public Offices".***

I was highly appreciate your cooperation in filling this questionnaire, which was take not more than 20 minutes. All information provided was be kept confidential and only used for the purpose of the study.

Please tick (✔) or fill where appropriate:

1. Gender:
   a) Male ( )
   b) Female ( )
2. Age:
   a) 18–25 ( )
   b) 26–35 ( )
   c) 36–45 ( )
   d) 46 and above ( )
3. Education Level:
   a) Certificate ( )
   b) Diploma ( )
   c) Degree ( )
   d) Postgraduate ( )
4. Position/Job Title: _____
5. Working Experience:
   a) Below 1 year ( )
   b) 1–3 years ( )
   c) 4–6 years ( )
   d) Above 6 years ( )

6. Which of the following legal frameworks are available in your office for guiding records creation and capturing?
   a) Records and Archives Management Act ( )
   b) Records Management Policy ( )
   c) Registry Procedures Manual ( )
   d) All of the above ( )

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7. Are legal frameworks effectively guiding records creation and capturing in your office?
   a) Yes ( )
   b) No ( )
   c) Not sure ( )
8. How often do you use legal frameworks when creating and capturing records?
   a) Always ( )
   b) Sometimes ( )
   c) Rarely ( )
   d) Never ( )

9. Are you aware of the legal frameworks governing records management in your organization?
   a) Yes ( )
   b) No ( )
10. How would you rate your level of understanding of these legal frameworks?
   a) High ( )
   b) Moderate ( )
   c) Low ( )
11. Have you received any training on records management legal frameworks?
   a) Yes ( )
   b) No ( )

12. What challenges do you face in implementing legal frameworks in records management?
   a) Lack of training ( )
   b) Inadequate resources ( )
   c) Lack of awareness ( )
   d) Poor management support ( )
13. Do legal frameworks in your office face implementation difficulties?
   a) Yes ( )
   b) No ( )
14. How do these challenges affect records management practices?
   a) Delays in retrieval ( )
   b) Misfiling of records ( )
   c) Loss of records ( )
   d) All of the above ( )

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INTERVIEW GUIDE

For Heads of Departments / Managers

1. What legal frameworks are in place to guide records creation and capturing at Bagamoyo Municipal Council?
2. How these legal frameworks are implemented in daily records management activities?
3. In your opinion, how effective are these legal frameworks in ensuring proper records creation and capturing?
4. What is the level of awareness among staff regarding records management legal frameworks?
5. What measures are in place to improve staff awareness and understanding of these frameworks?
6. How does staff awareness influence compliance with records management procedures?
7. What challenges does the council face in implementing records management legal frameworks?
8. How do these challenges affect service delivery and records management efficiency?
9. What strategies can be used to overcome these challenges and improve implementation?

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APPENDIX I

RESEARCH WORK PLAN/ SCHEDULE TIME FRAME

The research was conducted for the period of six (6) weeks as follow

ACTIVITIES PROGRAM	**1ST WEEK**	**2ND WEEK**	**3RD WEEK**	**4TH WEEK**	**5TH WEEK**	**6TH WEEK**
Reporting at the working place						
Familiarization and distribution of questionnaire						
Interview schedules						
Collection of data and compilation						
Data analysis and presentation						
First draft proof reading and final report submission						

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APPENDIX II

BUDGET

The study required money in order to achieve the goals for data collection. It includes stationery, transport expenses as well as daily expenses for researcher survival. The expenditure was be as the follow:

S/N	Item	Quantity	Cost
1	Pens	1box	10,000/=
2	Papers	1ream @ 15000	15,000/=
3	Questionnaire and interviews questions preparation	50 copies @ 200	10,000/=
4	Typing and printing proposal		40,000/=
5	Meals	40 days @ 5000	200,000/=
	TOTAL		**275,000/=**

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