SCHOOL OF LIBRARY ARCHIVES AND DOCUMENTATION STUDIES (SLADS)

DEPARTMENT OF RECORDS AND ARCHIVES MANAGEMET

EFFECTIVENESS OF APPRAISAL OF PUBLIC RECORDS IN TANZANIA LOCAL GOVERNMENT AUTHORITY: THE CASE STUDY OF UBUNGO MUNICIPAL COUNCIL IN TANZANIA

BY

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A research proposal submitted to the Department of Records Archives and Information Management in the partial fulfillment of the requirement for the award of ordinal diploma

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CERTIFICATION

The undersigned certifies that he has read and hereby recommends for acceptance by the School of Library, Archives and Documentation Studies a research proposal titled: “Effectiveness of Appraisal of Public Records in Tanzania Local Government Authority: The Case Study of Ubungo Municipal Council in Tanzania,” in partial fulfilment of the requirements for the award of the Ordinary Diploma in Records and Archives Management.

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DECLARATION

I, RAJU AZADI MAKAMBI, declare that this research is my own original work and that it has not been presented and will not be presented to any other institution for a similar or any other award.

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DEDICATION

This work is dedicated to my beloved parents, family members and friends, whose love, prayers, encouragement and sacrifice have been the foundation of my academic journey. Their unwavering support and belief in my abilities have inspired me to work hard and remain focused throughout this study.

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LIST OF ABBREVIATION

ARML	:	Archives and Records Management Legislation
ARMP	:	Archives and Records Management Policy
IRMT	:	International Records Management Trust
LGA'S	:	Local Government Authorities
UMC	:	Ubungo Municipal Council
RAMD	:	Records and Archives Management Department

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ABSTRACT

Appraisal of public records in Tanzania Local Government Authorities has often been poorly handled, resulting in accumulation of records of no value, inefficient use of storage space and delays in retrieval. This study assessed the effectiveness of appraisal of public records in Tanzania Local Government Authorities, using Ubungo Municipal Council (UMC) as a case study. The study was guided by three specific objectives: to explore the approaches and procedures used to appraise records at UMC; to analyze the challenges facing the appraisal process at UMC; and to determine the importance of appraising public records at UMC.

The study adopted a case study research design and employed a qualitative approach, supported by both primary and secondary data collection methods. Primary data were collected through interviews and questionnaires, while secondary data were obtained through documentary review. A non-probability, purposive sampling technique was used to select respondents from among the records staff and management of UMC.

The findings revealed that UMC applies a macro records appraisal approach, mainly relying on an appraisal team and existing retention and disposal schedules to determine the value of records. The study further established that the appraisal process at UMC is affected by a number of challenges, including inadequate awareness and technical skills among staff, insufficient funding, lack of adequate guiding tools and limited cooperation between records staff and other departments. Despite these challenges, the study found that appraisal of records at UMC brings notable benefits, including creation of adequate storage space, protection of records of enduring value, improved efficiency in records retrieval and enhanced service delivery.The study concludes that although UMC recognizes the importance of records appraisal, its effectiveness is undermined by inadequate resources, limited skills and weak guiding frameworks. The study recommends provision of sufficient funds for appraisal programmes, strengthening of cooperation between records staff and other employees, and regular review and revision of records professional training programmes. These measures are expected to improve the effectiveness of records appraisal at UMC and other local government authorities in Tanzania.

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CHAPTER ONE
INTRODUCTION AND BACKGROUND OF THE STUDY

1.1 Introduction

An effective records appraisal is a function requirement of all organization this because appraisal assist them in creating space, make easy finding of document and improve effectiveness in records management practice in large. Therefore, it important for them to conduct appraisal when required to do in order to facilitate organization function. The chapter present the background of the study, statement of the problem, general, specific research objectives, and research questions, significance of the study, scope and limitation of the study.

1.2 Background of the Study

Every day local government authority creates, receive and collect records. These records contain carriable information about people program, project, service and special initiatives. Some of those has no longer variable are been destroyed and for those has enduring value are retained and other are transferred to national archives for future uses.

According to Scholars such as (Mogha, Dulle and Benard, 2025), (Williams, 2006), (Smith, 2007), (Kenosi, L. and Moatlhodi, 2012) and (Franks, 2013) defined appraisal as a process of evaluating records in order to select records having continuing value for preservation in archival center or archival institution. Appraisal is the process by which archivist assesses the value of documents by determining institutional activities and decides which should be kept to provide a true image of society and which should be destroyed (*ibid*).

According to (IRM,1999) the purpose of appraisal is to make it possible to dispose of records promptly when their continuing utility for business purpose has expired, whether that disposal is by destruction or by transfer for archival preservation. Also, one function of disposal is to determine the life expectancy of records by assigning retention periods. Retention periods must be assigned to all records in an agency not just those with possible archival value.

According to (Cook, 2000) in appraising any record, appraisal should base on

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analyzing organizational core business, functions, activities, transactions and systems. They evident the whole circumstances or purpose led to creation of such records. It becomes an endless debate. Although every record is variable, only some records are considered to have archival value.

Global, the theories and practices of appraisal was developed by united national archive in the 1950's as a result of needs to select a permanent value of records from the huge bulk of records produced by government particularly in after World War two. Records management was concerned with evaluation of primary of temporary records. The French revolution gave the rise to concept of government responsibility to preserve records for the people well as administration. It was not until twentieth century that archivist establish the principle that they should consulted before any records were destroyed.

In Africa in post-independent period records management, face a lot of challenges that lead to poor management of records. These challenges results to poor decision making and poor-quality services delivery to the public

In appraisal of records, also various scholars lack common understanding or agreement on who should perform appraisal between records professionals and archival professionals. Theodore Schellenberg, Terry cook, Hellen Samuel believes on archivists to conduct selection and appraisal of records to retain research value. They were supported by (Craig, 2004)that Archivist is a specialist, a counsellor who coaches and advising others on appraisal principles and procedures, determining which records are potential for organizational business. (Williams, 2006)) Added that archivist has to appraise records to ensure secondary value for research purpose. (Nengomasha, 2013)stressed that due to lack of common understanding on appraisal process and lack of knowledge on the field, it affected appraisal process in many countries across Sub Saharan Africa.

Theodore Schellenberg and Hillary Jenkinson in 1950s came up with appraisal theory known as Traditional theory (Micro appraisal approach). Kamatula (2013) and Niu (2012) contend that in this approach, the records are evaluated based on their values in two ways; folio by folio in one file or file by file. Kamatula (2013) states that the approach is applicable only in small sized

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organization creating and keeping only paper records. According to Niu (2012) macro appraisal was developed in the early 1990s by Terry Cook. He proposed that appraisal should base on the organization's purpose, functions, structures, systems, of which should be analyzed first.

Appraisal of public records in Tanzania local government authority (TLGA'S)., has been poor handled due to various factors that resulting to failed of is process in public sector offices especially in local government authority. There are some reasons of conducting records appraisal that, the selected records will have permanent value for research purpose, appraisal frees space for active files, decreases the risk of misfiling and enhances efficiency in the process of records disposition, easily accessibility of records and making best use of space by maintaining maximum information having value and discarding usefulness records.

This study aims to improve the appraisal of records in local government authority by detecting challenges and problem, then generate suitable solution to overcome them and increasing effectiveness in registry services delivery.

Finally, the local government authority should ensure that those guiding tools for records appraisal are well managed and available when required at any time.

In recent years, Local Government Authorities in Tanzania have continued to generate an increasing volume of records as a result of expanded service delivery mandates, decentralization policies and the growing use of information and communication technology in public administration. This growth places pressure on the limited storage facilities, human resources and financial capacity of most councils, making the appraisal function even more critical than before. Without a systematic appraisal programme, councils such as UMC risk accumulating obsolete and duplicate records alongside records of enduring value, a situation that complicates retrieval, wastes office space and increases the cost of records management operations.

1.3 Statement of the Problem

One aspect of good records management is timely appraisal and disposal of records. In realizing the importance of records appraisal in the organization the

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Records and Archives Management Department (RAMD) was established and mandated with activities of appraising records for permanent preservation and timely destruction of records lacking value. Further, to give RAMD the authority and power of appraising records. The government of Tanzania decided to enact Records and Archives Management Act no.3 of 2002 which mandates RAMD to coordinate records management activities in public offices. (Maseh, 2015))stipulated that records management policy; legal and regulatory frameworks require effective records management.

The cases of backlogs and accumulation of records of different values have been observed in many public offices in Tanzania. This is confirmed by the findings of various studies such as (International Records Management Trust, 2007) (International Records Management Trust., 2011) (Kamatula, 2010) (Ndenje-Sichalwe, 2010) (Mohamed, Rashel, Mwagike, 2017). These studies reported the frequent cases of backlogs, inadequate space, accumulation of current, semi current and non current records in records office and misuse of resources caused by ineffective appraisal. They further argued that some records are transferred to records center and national archives while are not effectively appraised. Ineffective appraisal is a result of lacking clear procedures on what approach is correct to appraise records, what to be appraised on either value of records or business activities, and who has mandate to appraise record between creator of records and archivist.

The aim of this study is to assess effectiveness of appraisal of public records in Tanzania local government authority (TLGA'S).

The persistence of these challenges suggests that, despite the existence of a legal framework establishing RAMD and enacting the Records and Archives Management Act No. 3 of 2002, many local government authorities including UMC have not fully translated the legal provisions into practical, day to day appraisal practice. This study was therefore designed to establish empirically how appraisal is actually practiced at UMC, and to generate evidence based recommendations that can guide UMC and other local government authorities facing similar problems.

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1.4 Research Objectives

The objective of the study categorized into two parts which are General objective and Specific objectives.

1.4.1 General Objectives

To assessing the effectiveness of appraisal of public records at UMC

1.4.2 Specific Objectives

1. Explorer the approaches and procedures used to appraise records at UMC.
2. Analyze challenges facing appraisal process at UMC.
3. To determine importance of appraisal public records at UMC

1.5 Research Questions

This study sought to answer the following research questions:

1. What are the approaches and procedures used to appraise records at UMC?
2. What are the challenges faced by UMC in appraising their records?
3. What are the significance of appraising public records at UMC?

1.6 Significance of the Study

This study is important in many ways; its findings may provide records officer crucial information and knowledge related to appraisal of records done within various public offices. The study findings may make records officer aware on the approaches and procedures used to appraise records and last but not list is to understand importance of appraisal public records in Tanzania local government authority (TLGA'S). The policymakers and stakeholders may use this information to identify the areas, which need to be addressed when offering pieces of training and directives to record officers in LGAs. The knowledge may reduce inadequate appraisal in LGAs. The dissertation is useful in terms of knowledge construction and being dependable reference to be used by junior researchers in a related study.

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Beyond its academic contribution, the study is also expected to benefit UMC directly by providing management with a clear picture of the strengths and weaknesses of its current appraisal practice, which can inform budgeting decisions, staff training plans and the review of existing retention and disposal schedules. Records officers in other local government authorities facing comparable challenges may equally draw lessons from the findings and recommendations of this study.

1.7 Scope and Limitations of the Study

1.7.1 Scope of the Study

According to (Leedy, & Ormrod, 2010) scope of the study is about how widespread the study. The geographical area of the study is narrowed down to UMC because the areas have an adequate population to draw the adequate sample. According to 2022 Population and housing census, the Council recorded a total population of 1,205,949 out of which 599,974 were Males and 605,975Females. The other reason for selecting this municipal council is the area had little research done. This study specifically was focusing with investigation on the effectiveness of appraisal of public records in Tanzania local government authority (TLGA'S).

1.7.2 Limitations of the Study

In conducting this study, the researcher encountered numerous limitations: (Leedy, & Ormrod, 2010) defined limitations as potential weaknesses in the study that is out of researcher control. The major limitations encountered by a researcher in the course of conducting this study were as follows; the research budget was not enough to cover the study. Regarding funds, a researcher used an extra amount of money to cover the research costs. Unwillingness of respondents, some respondents did not cooperate in providing required information for fear of reprisals from their superiors. This was mitigated by the researcher assuring the respondents of confidentiality and concealment of their identity and all information they provided. In this connection, the names of respondents were not required in the questionnaires and interviews.

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1.8 Definition of Key Terms

1.8.1 Record:

A document regardless of form or medium created, received, maintained and used by an organization (public or private) or an individual in pursuance of legal obligations or in the transaction of business, of which it forms a part or provides evidence (International Records Management Trust,, 1999).

1.8.2 Public Records

According to (International Records Management Trust, 1999) define public records as are records created or received and maintained in any public sector agencies.

1.8.3 Appraisal

Scholars such as (Mogha, Dulle and Benard, 2025) Ramos and Ortega (2006); (Williams, 2006) (Smith, 2007)); (Kenosi, and Moatlhodi, 2012) (Franks, 2013) defined appraisal as a process of evaluating records in order to select records having continuing value for preservation in archival center or archival institution. Appraisal is the process by which archivist assesses the value of documents by determining institutional activities and decides which should be kept to provide a true image of society and which should be destroyed (ibid).

1.8.4 Local Government

(Linje, 2026) defines local government as a local democratic governing unit within the unitary democratic system of the country which is subordinate member of the government vested with prescribed, controlled governmental powers and sources of income to render specific local services and to develop control and regulate the geographic, social and economic environment of defined local area.

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CHAPTER TWO
LITERATURE REVIEW

2.1 Introduction

This chapter present the definition of key terms research gap and conceptual framework also reviews literature related to the area of study. It includes both theoretical and empirical literature. The former focuses largely on theories developed by different authors and scholars on the study and the latter focuses on various researches undertaken in relation to the area of study. This provides a broad picture of appraising records and information material in organization worldwide and evaluates strategies adopted by these institutions to records those records need to be destroyed are destroyed and those need to be transfer are being transfer and other retained

2.2 Theoretical Framework

2.2.1 Records Life Cycle Model:

According to (Bishi, 2025) this model portrays the life of a record as going through various stages, analogous to a living organism. (Bishi, 2025) goes on to explain that in the first stage, the record is created, presumably for a legitimate reason and according to certain standards. In the second stage, the record goes through an active period when it has maximum primary value and is used or referred to frequently by the creating office and others involved in decision making. During this time the record is stored on-site in the active or current files of the creating office. At the end of stage two the record may be reviewed and determined to have no further value, at which point it is destroyed, or the record can enter stage three, where it is relegated to a semi-active status, which means it still has value, but is not needed for day-to-day decision making. Because the record needs not be consulted regularly, it is often stored in an off-site storage centre.

At the end of stage three, another review occurs, at which point a determination is made to destroy or send the record to stage four, which is reserved for inactive records with long-term, indefinite, archival value. This small percentage of

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records is sent to an archival repository, where specific activities are undertaken to preserve and describe the records.

According to (International Records Management Trust,, 1999), the life cycle model not only describes what will happen to a record, it also defines who will manage the record during each stage. During the creation and active periods, the record creators have primary responsibility for managing the record, although records managers may well be involved to various degrees. In the semi active stage, it is the records manager who takes center stage and assumes major responsibility for managing the records. Finally, in the inactive stage, the archivist takes the lead in preserving, describing, and providing access to the archival record.

The relevance of the records life cycle model to this study lies in its emphasis on assigning clear management responsibility at every stage of a record's existence. Applying this model to UMC, appraisal decisions ought to be made at the point where records move from active to semi active status, and again when they move to inactive status, since these transition points determine whether a record is retained, transferred to the records centre or destroyed. Where these transition points are not clearly defined, records tend to accumulate without a proper appraisal decision being made, which is one of the problems this study sought to investigate at UMC.

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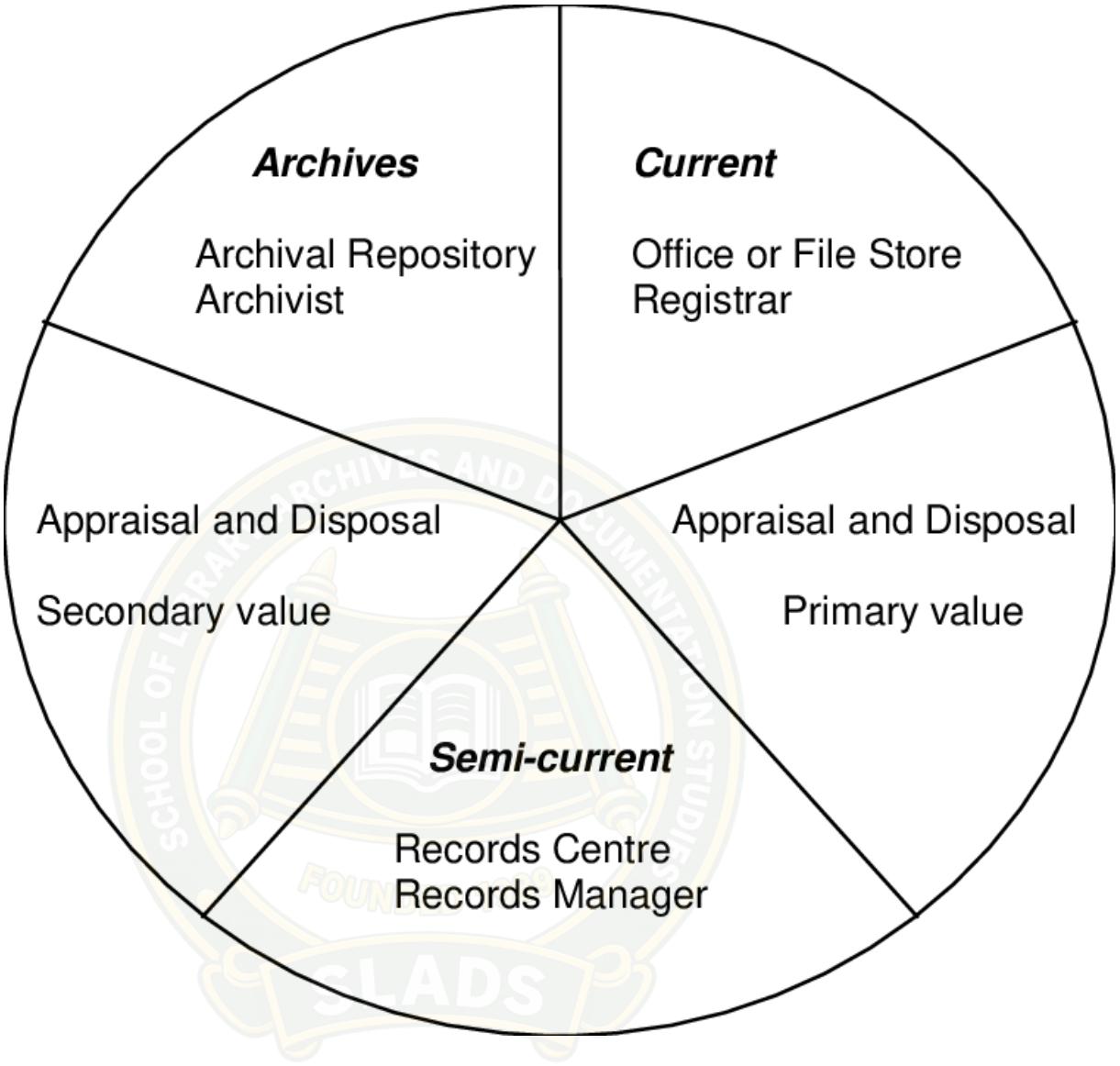


Figure 1 Records life cycle

***Source**: IRMT, 1999*

2.2.2 Records Continuum Model:

Records Continuum Model originated in Canada but was developed and adopted in Australia in the 1980's and 1990's by Australian archival theorist Frank Upward (Bishi, 2025). This records model is considered as a continuous process from the creation of records up to disposition. The records continuum on the

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other hand requires a records managers and archivist with a way of thinking about the integration of records keeping and archiving process because the archives are the product of records.

According to (Upward, 1997) the model has four dimensions namely create, capture, organize and pluralize respectively. The Create dimension is the initial stage that occurs when records are created or received. It also manifests the relationship between the author and the organization for which records are created or received. The second dimension, Capture is about the storage and the link between the records and the system that maintain their integrity The Organize dimension is about the accessibility of the records anticipating that they will be used for transactional, evidential and memory purposes. With the pluralize dimension there is an expansion of access to the records to the societal functions.

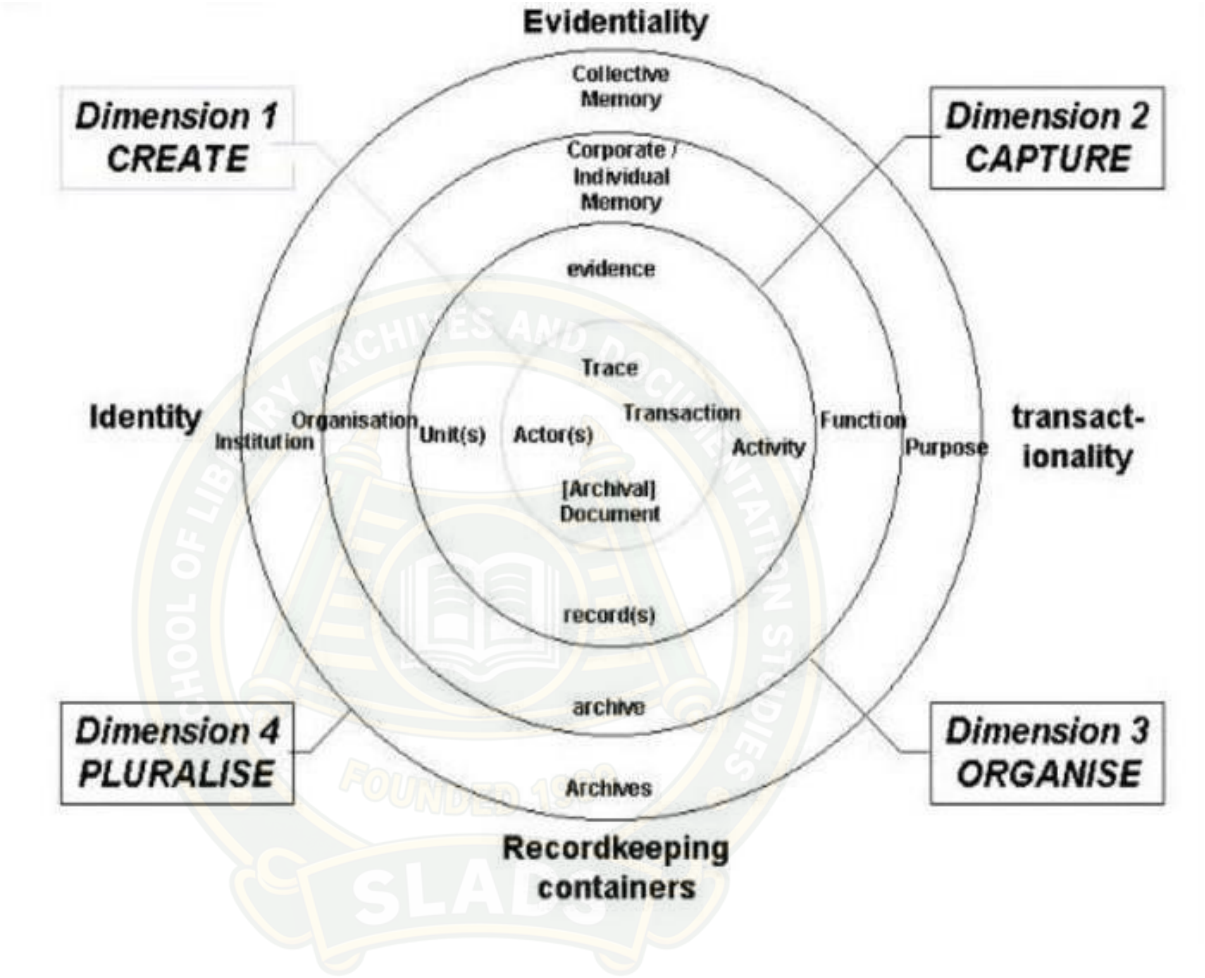
This model is a general model concerning the management of records in all forms from the time of their creation/reception through to the maintenance and storage. In all four dimensions of the model, there is none which is committed to the preservation of records in organizations. This therefore needed to be replaced by another model which addresses preservation of paper records.

Unlike the life cycle model, the continuum model does not treat appraisal as an event confined to a particular stage but as an ongoing consideration that should inform record keeping decisions from the moment a record is created. For a local government authority such as UMC, this implies that appraisal criteria should be embedded in the design of filing systems and classification schemes from the outset, rather than being applied only when files become bulky or storage space runs out.

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Figure 2 Records Continuum Model

Source: Frank Upward, 2000



2.3 Empirical Review

This part presents ideas from different thesis and study done by other researchers that are related to this study. There are substantive studies and writing on records appraisal such as (kaziba Goitse Thanye, Trywell Kalusopa, Kelvin Joseph Bwalya, 2015) conducted a study on records appraisal in Botswana. The aim of this was to investigate the appraisal practices of architectural records at Gaborone city council (GCC) in Botswana. The study was guided by the American Taxonomy approach and ISO 15489; complemented with Shrock (1996) guideline to cater for the appraisal of intrinsic value found in architectural records. The findings of the were founded that the appraisal practices of

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architectural records at the GCC were inadequate as evidence by overwhelming upraised architectural off records generated; poor identification of records for appraisal ;lack of staff to do appraisal; lac of competencies and skills of records personnel in the appraisal of architectural records; lac of financial and material resources to conduct appraisal ; and lack of guidance from BNARS on the appraisal of architectural records.

(Sidney, 2020) conducted a study on records appraisal in South Africa. The aim of this was to investigate the state appraisal with regard to compliance with archives and records management legislations (ARML) the archives and records management policy (ARMP) reappraisal of records, capacity of building, archives building and electronic records management (ERM) and to make a recommendation based on the research finding. The findings of the study were founded that ARML, ARMP, reappraisal of records and capacity building are essential for the appraisal of university records. The lack of the appropriate appraisal theory/strategy led to a loss of institution memory.

Both studies reviewed above, although conducted outside Tanzania, demonstrate a recurring pattern in which inadequate staffing, insufficient funding, limited technical competence and weak policy guidance combine to undermine the effectiveness of records appraisal programmes in public institutions. These findings resonate with the situation commonly reported in Sub-Saharan African local government authorities, where records management is often treated as a clerical function rather than a strategic one deserving dedicated budget lines and qualified personnel. However, most of the reviewed studies focused on university or national archives, leaving the specific context of local government authorities in Tanzania comparatively under researched.

2.4 Research Gap/ Synthesis of Literature Review

Various existing literatures on records appraisal based on ordinary challenges facing records appraisal. They did not show the guiding tools for records selection and appraisal when appraising public records. In order to cover this gap, the study aims to investigate the guiding tools for records selection and appraisal and identify legislations provide mandatory to RAMD for conducting

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effective appraisal and disposition of public records

2.5 Conceptual Framework

In order to investigate the records appraisal in Ubungo Municipal Council effectiveness of records appraisal stand as dependent variable and independent it included factors such as training and capacity building of records officer, availability of appraisal guideline and standards and records management system.

The conceptual framework explains the relationship between factors for effectiveness of records appraisal.

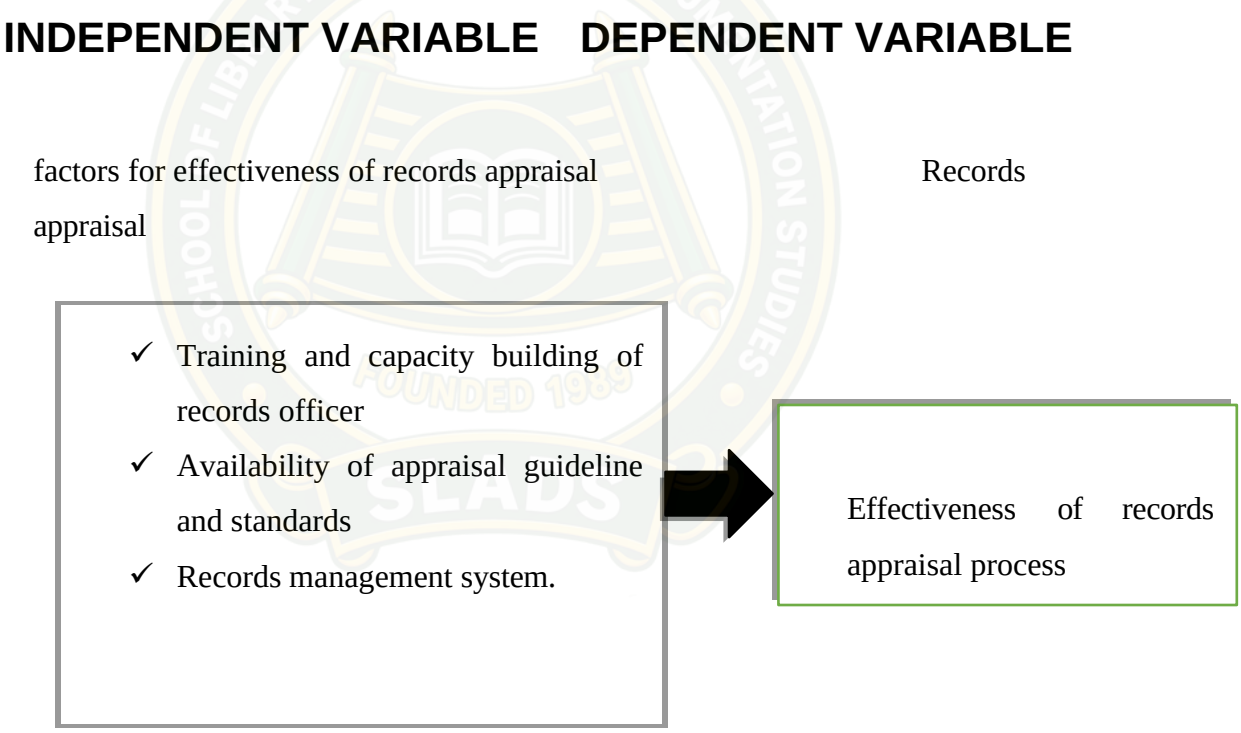


Figure 3: Conceptual Model

Source: own conceptualized

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CHAPTER THREE
RESEARCH METHODOLOGY

3.1 Introduction

This study was concerning with effectiveness of appraisal of public records in Tanzania Local Government Authority: the case study of Ubungo Municipal Council in Tanzania. This chapter conveys how data will be collected in response to research questions, describing procedures and techniques that support its main point will be used by the researcher in conducting the study. It covers the following subtitles; research design, targeted population, sample and sampling techniques, area of the research, data collection procedures and methods of data analysis.

3.2 Research Design

It is argued by (Adam J. and Kamuzora, F, 2008) that "a" good research design is essential for a successful research process one has to plan in advance the study area the type of research to be carried out method of obtaining required data, a sample from which data to be collected, methods to use in collecting and analyzing data, duration and fund required to complete the study. According to (Kothari, 2004) a research design is arrangement of conditions for coaction and analysis of data in manner that aimed to combine relevance to the research purpose with economy in procedure.

In this study, case study design used. This research design found to be useful as it narrowed the area of study and limited time. Therefore, a case study design provides an adequate and relevant information to the research problem, less expensive compared to other methods and that it offers an in depth and breadth analysis of variable to be studied. Also, flexible method of collecting data like interviews and questionnaire will be used in collecting data.

A case study design was preferred over a survey design for this study because it allowed the researcher to obtain an in-depth understanding of the appraisal process as it actually occurs within a single local government authority, rather than a superficial overview across many councils. This depth of understanding

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was considered necessary given that appraisal practices, challenges and benefits are often shaped by institution specific factors such as leadership commitment, staffing levels and the state of existing retention schedules.

3.3 Research Approach

This study adopted a qualitative research approach. A qualitative approach was considered appropriate for this study because it enabled the researcher to explore in depth the approaches, procedures, challenges and benefits associated with the appraisal of public records at UMC, rather than simply measuring variables numerically. The approach allowed the researcher to capture the views, opinions and experiences of records officers, heads of department and other staff of UMC regarding records appraisal practice through interviews and open ended aspects of the questionnaire. Although the study also generated some quantitative data, such as frequencies and percentages presented in Chapter Four, this quantitative information was used mainly to support and illustrate the qualitative findings rather than to test statistical hypotheses. The combination of qualitative depth with limited quantitative description was therefore considered the most suitable approach for achieving the objectives of this study.

3.4 Target Population

According to (McLeod, 2014), target population refer to the group of people from which sample size is to be drawn. The target population supports a researcher to obtain the necessary information as per developed research questions. Ubungo Municipal Council is made up of nine departments and nine sections. The study involved the 40 employees from the various department at UMC. But in the study population directly targeted respondent such as 5 records officer, 9 heads of department and 26 other employees. This because not all staff at UMC deals with records in their daily bases.

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Table 1 Sample distribution

CATEGORIES	POPULATION	PERCENTAGE (%)
Heads of departments and units	9	22
Records management assistance	5	12.5
Other council staff	26	65
TOTAL	**40**	**100**

Source: field data, (2026).

3.5 Area of the Research

The study conducted in public sectors, local government in particular Ubungo Municipal Council in ubungo Region, the council has 23 wards which covers an area of about 240 square kilometers. Also, the council has 19 department**.** The 2022 census showed that there were 1,205,949 people. The research conducted at UMC because it is a place that will bring a relevant data toward the records appraisal in local government authority.

3.6 Sample and Sampling Procedures

3.6.1 Sample Size

Since a well selected sample offer relevant data that are reliable, and representative, more size alone does not ensure representative of the sample. According to (Adam and Kamu Zora, 2008) if the population members happen to have similar characteristic a small sample size can be employed, but if the element of the population are heterogeneous a large sample size has to be considered to increase the degree of representativeness of the population. As per study population which constitutes heterogenous characteristics, to fulfill the requirement of the study the sample size was 40 respondents to be selected from local government staff at the council.

A sample of 40 respondents, though modest in absolute terms, was considered adequate for this case study because it represented almost the entire population of staff directly or indirectly engaged with records management functions at UMC, rather than being drawn from a much larger population through random selection. This near-census coverage strengthened the credibility of the findings,

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since the views collected captured a wide range of perspectives available within the council on the subject of records appraisal.

3.6.2 Sample Techniques and Procedures

The aim of this part is to determine the sample size of the population involved in the study, and to decide on the appropriate sampling techniques that employed and criteria for the selection of each sampling techniques. Under this study the researcher used non probability sampling.

3.6.2.1 Non-Probability Sampling.

A non-probability sampling method used in the study thus purposive sampling method. (Agyedu, Donkor, & Obeng, 2010) suggested that in purposive sampling the researcher uses his or her own judgment about which respondent to choose and picks only who best meet the purpose of the study. The purposive sampling used because not all UMC staff are directly involves in records management.

By focusing on records officers, heads of department and other staff who interact with records in the course of their duties, the purposive sampling technique ensured that the information gathered reflected the actual experiences of those responsible for, or affected by, the appraisal process, rather than opinions from staff with little or no exposure to records management activities.

3.7 Methods of Data Collection

Basically, the study interested in collecting qualitative data. Both primary and secondary data was being collected. The data collection methods used include, interview questionnaires and documentary review/ analysis.

3.7.1 Primary Data Collection Methods

Primary data are the original data collected for a specific research goal or information that one has acquired. The following methods/ techniques used by the researcher to collect primary data from the define sources

3.7.1.1 Interview

According to (Kothari, 2004) Interview is methods of collecting data involves presentation of oral verbal stimuli and reply in terms of oral verbal responses.

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This method can be used through personal interview, if possible, through telephone interview. The interview used in order to get more information from targeted population specifically records officer and heads of department who will be able for the interview.

3.7.1.2 Questionnaires

According to (Kothari, 2004) questionnaire method of data collection consists of a number of questions printed in a defined order on a form or set of forms. The researcher used the questioner data collection method in form of question which is distributed to the all employees who are expecting to read and answer those questions that will support the researcher to collect data. The researcher prepared a list of questions relevant to this study to be used in data collection. These questions were being on closed ended questions. This because of many of respondents are difficult

3.7.2 Secondary Data collection

Secondary data are data originally collected from a different documented material study, used again for a new study or purpose. In this study the researcher used various document and information from UMC as well as from internet sources.

3.7.2.1 Documentary review sources.

Researcher collected secondary data from UMC. These data included data concerning appraisal of records in public office especially registry

3.8 Data Processing and Analysis

Data analysis refers to the computation of certain measures among with searching for particular of relationship that exist among data groups (Kothari, 2004). The analysis of data was done at the end of the data collection. The response categorized on the bases of information provided by respondents. Statistical package for social sciences (SPSS) used to analyze the data. The data presented and interpreted using frequency distribution table, percentage, pie chart and bar chat and this is for quantitative data while qualitative data was using narrative analysis this because the study was using both qualitative and

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quantitative techniques to analyze data.

3.9 Validity and Reliability

3.9.1 Validity

According to (Karnia, 2024) validity is the extent to which a test measures what it is intended to measure. The researcher mostly focused on content validity which refers to the accuracy with which an instrument measures the factors under study. The study adopted validity which is the degree to which data collected using particular instruments represents a specific domain of indicator or content of a particular concept. To ensure content validity of instruments the researcher constructed the instruments with all the items that measure variables of the study. The researcher also consulted the supervisor for proper guidance after which the researcher pretested the instruments and after pre testing ambiguous questions was being removed so as to remain with the finest data required.

3.9.2 Reliability

Reliability relates to the precision and accuracy of the instrument. If used on similar group of the respondents in a similar context the instrument should yield similar results (Cohen,Manion, and Morrison, 2000) Accurate and careful phrasing of each question to avoid ambiguity and leading respondents to a particular answer ensuring reliability of the tool. The study adopted the test-retest method which involved administering the same instruments twice to the same group of subjects and this will be done by selecting an appropriate group of respondents, the researcher administered instruments to respondents and then re administer the same instrument to another group after a week and the results of the two periods correlated to obtain the coefficient of reliability.

3.10 Research Ethics

Ethics are the norms for conduct that distinguish between rights and wrong (Harriss, MacSween, &Atkinson, 2017) This study will consider the ethics clearance that requested and granted from SLADS, the researcher received a letter that allowing carrying out a study so once this obtained the research study proceeded. Also, the researcher considered the following ethical matter, confidentiality of all the information from the respondents, protection of the

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respondents' identities and exercise of freedom of thought, intellectual honesty, avoiding bias and ensuring security of data during and after completion of research.

Taken together, the research design, sampling procedures, data collection methods and ethical safeguards described in this chapter were intended to ensure that the data presented and analyzed in Chapter Four are both valid and reliable, and that they were obtained in a manner that respected the rights and confidentiality of the respondents who participated in the study.

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CHAPTER FOUR

DATA ANALYSIS PRESENTATION AND FINDINGS

4.1 Introduction

This chapter introduces the data analysis, presentation and research findings that were developed from the respondents who were approached by questionnaires and interviewed by a researcher of the study.

4.2 Descriptions of the respondents

The respondents' demographic characteristics in terms of gender, age, level of education and work experience in the Ubungo Municipal Council.

Table 2 Gender of respondents

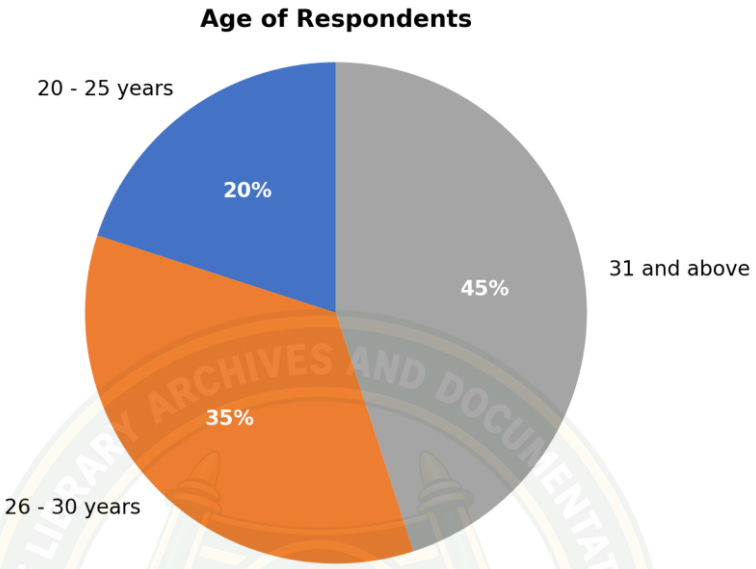
GENDER OF RESPONDENTS	FREQUENCE	PERCENTAGE (%)
Male	22	55
Female	18	45
TOTAL	**40**	**100**

Source: Field data, (2026).

Table 2 shows that the gender of respondents participated on this research whereby gender of male was 22 (55%) is greater than the gender of female was 18 (45%). So, both genders have average number employees on the position of decision making especially on the records appraisal program whereby it leads UMC to gain best overviews from both genders when it comes to the issues of records appraisal program at their working areas.

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Table 3 Age of respondents



Source: Field data, (2026).

The research findings observed that the average number of age between 31 above (45%) is bigger compared to the other number of age between 26 to 30 (35%) and 20 to 25 (20%). Most of the respondents participated in the study has average number of age between 26 and above years that is active age for the expecting best performance on the records management practices from them through the provision of regular records professional training. This lead UMC to the proper planning related with the recruitment process in order to gain more staff who active in term of physically mentally fit on appraising organizational records without laziness or delay in decision making to support daily business operations.

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Table 4 Level of Education

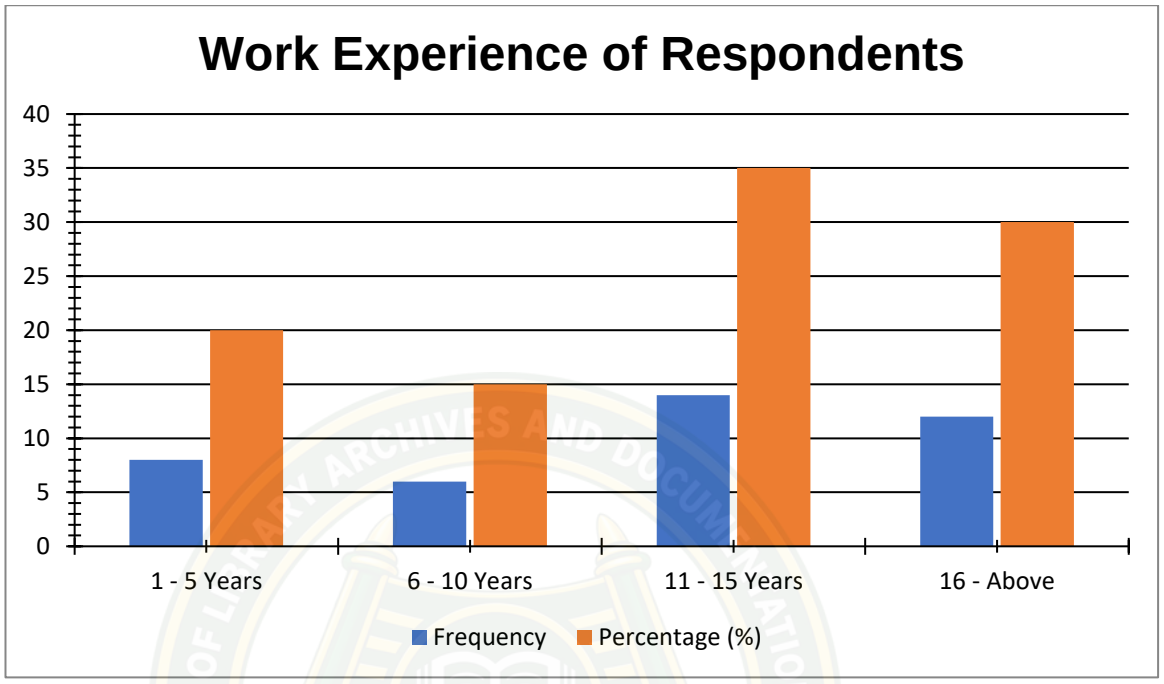
EDUCATIONAL LEVEL	FREQUENCE	PERCENTAGE (%)
Secondary	-	-
Certificate	2	5
Diploma	24	60
Degree	10	25
Masters	4	10
TOTAL	**40**	**100**

Source: Field data, (2026).

The table 4.2.3 indicates the educational level of respondents who participated in the study. This data represents as follows; the number of employees in Diploma level were 24 (60%) is greater than the number of employees in Degree level were 10 (25%), the number of employees in Masters level were 4 (10%) and the number of employees in Certificate level were 2 (5%). This is due fact that the Diploma level in records management was introduced during the previous many years and therefore the most of the employees have Diploma level skills in managing records and field of professional at UMC compared with the other's educational levels. So, this shows that a researcher recommended to UMC should provide regular records professional training and development programs to their staff relevant to their daily duties to ensure efficiently in appraising records and archives.

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Table 5 Work experience of respondents



Source: Field data, (2026).

The table 4.2.4 shows the working experiences of the respondents who participated in the study. This data represents as follows; the number of employees experienced at work between 11 to 15 years were 14 (35%) is greater than the number of employees experienced at work between 16 years and others. This is due to fact that the most employees have more experience to work at records office within 4 years and above that indicates on how they require regular records professional training for boosting their performance in appraising records at UMC relevant to the changes of technology.

4.3 Organizational Analysis

The demographic profile presented above indicates that the majority of respondents were fairly experienced and reasonably educated members of staff, a combination that lends credibility to their responses on technical matters such as records appraisal procedures and challenges. Respondents holding a Diploma or higher qualification, who together constituted the majority of the sample, would ordinarily have been exposed to basic principles of records and information management during their training, which increases the likelihood

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that their views on appraisal practices at UMC were informed rather than speculative.

Table 6 The approaches and procedures used to appraise records at UMC

APPRAISAL RECORDS PROCEDURES AND APPROACHES	RESPONSE		PERCENTAGE (%)	
	AGREE	DISAGREE	AGREE	DISAGREE
Appraisal team is an important factor when appraising records.	10	2	25	5
Micro and macro appraisal are approaches used to appraising records at UMC.	8	4	20	10
The procedures used to appraise records at UMC are effective and well implemented.	8	8	20	20
TOTAL	**40**		**100**	

Source: Field data, (2026).

Table 6 shows the approaches and procedures used to appraise records at UMC whereby respondents who responded in appraisal team as an approach and procedures used at UMC were 10 (25%) Agreed is greater than disagreed who were 2 (5%). The respondents who responded in micro and macro appraisal approach used at UMC were 8 (20%) agreed is greater than disagreed who were 4 (10%). Lastly, the respondents who responded in the procedures used to appraise records at UMC are effective and well implemented were both 8 (20%) agreed and disagreed. So, a researcher sees that UMC should emphasize more effort on building best appraisal team which will be generated from the different fields found at UMC in order to improve effectiveness and efficiency on the appraisal records program then should choose directly one of the appraisal records type relevant with their economic status, human resources and supportive equipment to undergo such program according to timeframe.

These findings on approaches and procedures suggest that while UMC has some structures in place for conducting appraisal, such as an appraisal team, the application of formal micro and macro appraisal approaches remains

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inconsistent. This is consistent with the theoretical discussion in Chapter Two, which noted that many local government authorities in Sub-Saharan Africa struggle to apply appraisal theories systematically due to limited technical understanding among records personnel.

Table 7 The challenges faced by UMC in appraising their records

CHALLENGES FACED BY UMC	RESPONSE		PERCENTAGE (%)	
	AGREE	DISAGREE	AGREE	DISAGREE
There is a lack of awareness and technical skills in conducting records appraisal at UMC.	14	-	35	-
Ineffective retention and disposal schedule hinder effective records appraisal at UMC.	10	2	25	5
There is a lack of clear legal frameworks on records appraisal at UMC.	10	4	25	10
TOTAL	**40**		**100**	

Source: Field data, (2026).

Table 7 shows that the challenges faced by UMC in appraising their records whereby the respondents who responded on a lack of awareness and technical skills in conducting records appraisal at UMC were 14 (35%) agreed is greater than other's challenges response. The respondents who responded on ineffective retention and disposal schedule were 10 (25%) agreed is greater than disagreed were 2 (5%) and lastly the respondents who responded on a lack of clear frameworks on records appraisal program at UMC were 10 (25%) agreed is greater than disagreed were 4 (10%). So, a researcher sees that UMC should emphasize more efforts on providing training relevant with the records appraisal program in order to give their staff technical skills and awareness when conducting records appraisal program.

The dominance of awareness and technical skill gaps among the challenges reported by respondents mirrors the findings of the Botswana and South African

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studies reviewed in Chapter Two, both of which identified inadequate staff competence as a central obstacle to effective records appraisal. This recurring pattern across different countries suggests that capacity building in records appraisal is not merely a local problem at UMC but a broader challenge facing records management practice within the region.

Table 8 The significances of appraising public records at UMC

BENEFITS OF APPRAISING PUBLIC RECORDS AT UMC	RESPONSE		PERCENTAGE (%)	
	AGREE	DISAGREE	AGREE	DISAGREE
It helps to create enough space in the records office.	16	-	40	-
It assists on identifying all vital records.	10	4	25	10
It enhances efficiency on work performance.	8	2	20	5
TOTAL	**40**		**100**	

Source: Field data, (2026).

Table 8 shows that the significances of appraising public records at UMC whereby the respondents who responded on creation of enough space in the records office were 16 (40%) agreed is greater than other benefits. The respondents who responded on identifying all vital records were 10 (25%) agreed is greater than disagreed were 4 (10%). Lastly the respondents who responded in enhancing efficiency on work performance were 8 (20%) agreed is greater than disagreed were 2 (5%). So, a researcher sees that UMC should also emphasize on conducting seminars related with records appraisal program in order to make their staff knowledgeable especially on identifying benefits of records appraisal program to their daily business operations.

Overall, the quantitative findings presented in this section demonstrate that although UMC staff generally recognize the value of records appraisal, particularly its contribution to creating storage space and protecting vital records,

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there remain notable gaps in the technical execution of the appraisal process. These gaps are further explored qualitatively through the interview responses discussed in the following section.

4.4 The findings for Interview Guide

4.4.1 The approaches used to appraise records at UMC

Through the findings of interview method, most of the respondents said that: "U*MC practiced macro records appraisal approach in order to save time working, reduce costs of manpower and working facilities."* This show that UMC must provide regularly training about knowing the values of each file created in their office in order to make decision at the first time when you create file for use and support daily business operations.

4.4.2 The challenges UMC facing in appraising their records

Through the findings of interview method, most of the respondents said that: *"UMC experienced more limitations on the appraising their records at their workplaces including insufficient fund, poor compliance with relevant legislative requirements and low priority from top management support that decline smooth records appraisal operations relevant with the good records management practices"* This show that UMC must be closely with the supportive good records management practices in term of providing right professional records training at the right time to the right staff relevant with the organizational goals as well as individual goals.

4.4.3 The significances of appraising public records at UMC

Through the findings of interview method, most of the respondents said that: *"UMC benefits from the public records appraisal including protection of vital records, faster decision making and demonstrating transparency and accountability to all staff while performing their daily operations relevant with the proper installation of records classification system"* This show that UMC still maintain consistency on complying with the records classification systems applied for their smoothing daily operations towards organizational goals.

The convergence between the questionnaire findings and the interview responses strengthens the overall credibility of the study's conclusions. Both data sets point

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to a records appraisal process at UMC that is functional in its basic form but constrained by inadequate resources, limited technical capacity and insufficiently developed guiding tools, findings that form the basis for the recommendations presented in the next chapter.

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CHAPTER FIVE
CONCLUSION AND RECOMMENDATION

5.1 Introduction

This chapter summarizes the general observation made by a researcher through the research findings of the study, which includes particular information about the conclusion, and recommendations related with research topic in UMC.

5.2 Summary of the Study

This study assessed the effectiveness of appraisal of public records in Tanzania Local Government Authorities, using Ubungo Municipal Council (UMC) as a case study. The study was guided by three specific objectives, namely to explore the approaches and procedures used to appraise records at UMC, to analyze the challenges facing the appraisal process at UMC, and to determine the importance of appraising public records at UMC. A case study design was adopted, employing a qualitative approach supported by both primary and secondary data collection methods, including interviews, questionnaires and documentary review, administered to a purposively selected sample of 40 respondents drawn from records officers, heads of department and other staff of UMC.

The findings established that UMC applies a macro records appraisal approach, relying mainly on an appraisal team together with existing retention and disposal schedules to determine the value of records. The study further revealed that the appraisal process is constrained by inadequate awareness and technical skills among staff, insufficient funding, limited guiding tools and weak cooperation between records staff and other departments. Despite these challenges, appraisal was found to bring notable benefits to UMC, including creation of adequate storage space, protection of records of enduring value, improved efficiency in records retrieval and enhanced service delivery.

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5.3 Conclusion

According to research findings revealed that there is inefficiency to the efforts done by UMC on the records appraisal programs which cause misbehavior while handing and care their records for supporting decision making from the daily operations towards UMC's goals efficiently and timely manner. So, UMC should review and revise organizational records management regulatory frameworks in order to meet national and international records management standards relevant to the technological advancements.

In addition, the findings of this study are likely to be relevant beyond UMC, given that many local government authorities in Tanzania share similar institutional structures, staffing patterns and resource constraints. Future researchers may wish to extend this study by undertaking a comparative analysis of records appraisal practices across several local government authorities, or by specifically examining the role of information and communication technology in improving the efficiency of the appraisal process.\

5.4 Recommendations

Based on the findings of the study, the researcher pointed out some recommendations to be followed by UMC, staff management and other public organizations as well as the private organizations, they should put efforts towards records appraisal program. These recommendations are advanced from the responses of the problems that were identified:

5.4.1 Provision of sufficient fund

This is due to the legal requirements of records appraisal program that should be met by having sufficient fund from the top management who has authority of preparing and approving the required budget for the records appraisal program's needs that should lead UMC to the effectively protection of their vital records and avoidance of leakage of official information to unauthorized users.

Adequate and timely funding would also enable UMC to invest in basic appraisal tools such as updated retention and disposal schedules, filing equipment and,

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where feasible, electronic records management systems that can support more consistent appraisal decisions across departments. Without dedicated financial resources, appraisal activities are likely to continue being treated as a low priority task rather than as a routine and planned records management function.

5.4.2 Emphasize the cooperation between the records staff with others staff

This is due to the existence of conducive working environments that influence mutual understanding among the employees and work as a team while offering services to the clients. So top managers should emphasize and create more attractive methods for knowledge sharing like group discussion, regular seminars, official meeting and coaching. These will help UMC on reducing misconduct while handling and care official records.

Strengthening cooperation between records staff and other departments would also help to address the low priority sometimes accorded to records appraisal by non-records staff, since departmental heads and other employees who understand the value of proper record keeping are more likely to support and comply with appraisal decisions made by the records office.

5.4.3 Regular review and revise records professional training program

This is by setting timeframe for reviewing previously records professional training program based on identifying the strengths and weaknesses and revise them to fulfill the gaps raised during implementation of records appraisal program. This will lead UMC to the more appropriate decision making relevant to records appraisal program according to the current requirement like technological advancements.

In addition to the three recommendations above, the study proposes that UMC should consider gradually introducing electronic document and records management systems, given the increasing volume of records generated through modern service delivery channels. Even a modest level of digitization, such as maintaining an electronic register of file locations and appraisal decisions, would

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reduce the administrative burden associated with manual tracking of records.

5.5 Areas for Further Research

Building on the findings and limitations of this study, the researcher suggests the following areas for further research: a comparative study of records appraisal practices across multiple local government authorities in Tanzania, to establish whether the challenges identified at UMC are common nationally; a study on the role of information and communication technology, particularly electronic records management systems, in improving the efficiency and consistency of records appraisal in the public sector; and an investigation into the relationship between funding levels for records management units and the effectiveness of appraisal and disposal programmes in local government authorities.

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APPENDICES

APPENDIX I: QUESTIONNAIRE

Dear respondents,

My name is **RAJU AZADI MAKAMBI** I am a student at School of library and documentation studies (SLADS) pursuing ordinal diploma of Records and Archives Management. As part of requirement for the award of this degree, I am undertaking research on "**Effectiveness of appraisal of public records in Tanzania Local Government Authority: The case study of UBUNGO Municipal Council**". I would be very grateful if you would spare some few minutes to fill in this questionnaire. The information that you will provided, will be treated as confidential and you identify will not be exposed. All responses supplied will be used only for academic purposes.

SECTION A: DEMOGRAPHIC INFORMATION OF RESPONDENT

Instruction: Write a letter of the appropriate answer in the bracket provided

1. Gender of respondent

    a) Male Female 2. Age of the respondent { }

    a) 20-25 { }
    b) 26-30
    c) 31 and above

3. Education level of the respondent

    a) Secondary
    b) Certificate { }
    c) Diploma
    d) Bachelor degree
    e) Masters

4. How long have you working at UMC (years)?

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a) Male Female 2. Age of the respondent { }

a) 1-5
b) 6-10 { }
c) 11-15
d) 16 above

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SECTION B: Questions based on the specific objectives of the study

Instruction: Please put tick on the box which answer of your choice

OBJECTIVE 1: The approaches and procedures used to appraise records at UMC

S/N	QUESTIONS	AGREE	DISAGREE
1	Appraisal team is an importance factor when appraising records		
2	Micro and macro appraisal are approaches used to appraising records at UMC		
3	The procedures used to appraise records at UMC are effective and well implemented		

OBJECTIVE 2: The challenges faced by UMC in appraising their records

S/N	QUESTIONS	AGREE	DISAGREE
1	There is a lack of awareness and technical skills in conducting records appraisal at UMC		
2	Ineffective retention and disposal schedule hinder effective records appraisal at UMC		
3	There is a lack of clear legal frameworks on appraisal of records at UMC		

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OBJECTIVE 3: The significances of appraising public records at UMC

S/N	QUESTIONS	AGREE	DISAGREE
1	Appraising public sector records at UMC helps to create space in records office		
2	Appraising of public records at UMC assist to identifying vital records		
3	Appraising public sector records at UMC enhance efficiency on work performance		

Thank you for your precious time spent in filling out these questionnaires…!!!!

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APPENDIX II: INTERVIEW GUIDE

i. What are the approaches and procedures used to appraise records at UMC?

ii. What are the challenges UMC facing in appraising their records?

iii. What are significances of appraising public records at UMC?

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APPENDIX III

RESEARCH BUDGETING

Item	Estimated Cost (TZS)	Remarks
Transport	200000	Field visits
Printing & Photocopy	100000	Questionnaires/report
Internet & Communication	50000	Data collection
Stationery	50000	Pens, files
Data Analysis	100000	Typing/SPSS
Binding	50000	Final copies
Contingency	50000	Unexpected
TOTAL	600000	

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APPENDIX IV

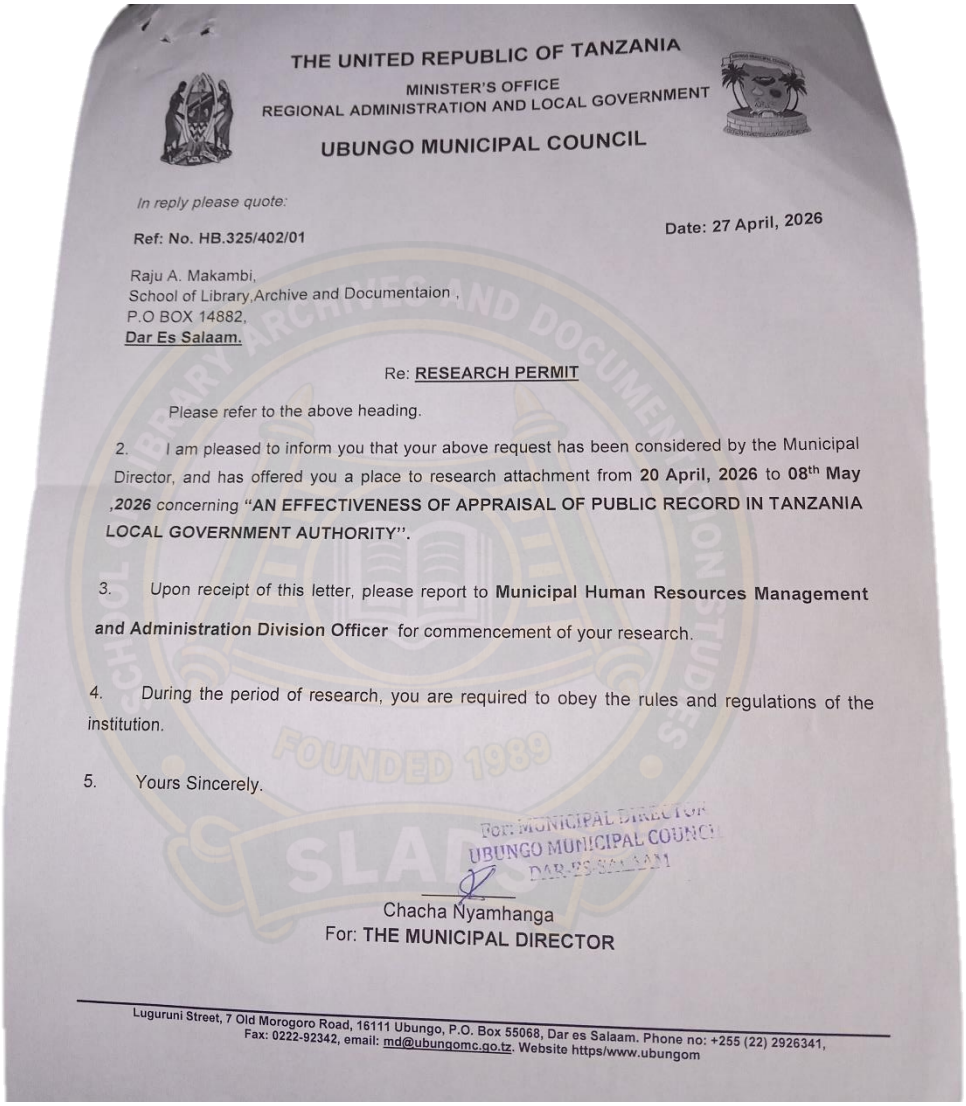
TIME SCHEDULE

ACTIVITIES	1 MONTH	2 MONTH	3 MONTH	4 MONTH	5 MONTH
Report at the study area and get familiarization					
Distribution of questionnaire and interviewing respondent					
Observation the situation and collecting questionnaire and data analysis					
Data interpretation and report writing					

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APPENDIX V

APPROVAL LETTER



THE UNITED REPUBLIC OF TANZANIA

MINISTER'S OFFICE
REGIONAL ADMINISTRATION AND LOCAL GOVERNMENT

UBUNGO MUNICIPAL COUNCIL

In reply please quote:

Ref: No. HB.325/402/01

Date: 27 April, 2026

Raju A. Makambi,
School of Library,Archive and Documentaion ,
P.O BOX 14882,
Dar Es Salaam.

Re: **RESEARCH PERMIT**

Please refer to the above heading.

2. I am pleased to inform you that your above request has been considered by the Municipal Director, and has offered you a place to research attachment from **20 April, 2026** to **08th May ,2026** *concerning* ***"AN EFFECTIVENESS OF APPRAISAL OF PUBLIC RECORD IN TANZANIA LOCAL GOVERNMENT AUTHORITY".***

3. *Upon receipt of this letter, please report to* **Municipal Human Resources Management and Administration Division Officer** for commencement of your research.

4. During the period of research, you are required to obey the rules and regulations of the institution.

5. Yours Sincerely.

For: MUNICIPAL DIRECTOR
UBUNGO MUNICIPAL COUNCIL
DAR-ES-SALAAM

Chacha Nyamhanga
For: **THE MUNICIPAL DIRECTOR**

Luguruni Street, 7 Old Morogoro Road, 16111 Ubungo, P.O. Box 55068, Dar es Salaam. Phone no: +255 (22) 2926341,
Fax: 0222-92342, email: md@ubungomc.go.tz. Website https/www.ubungom

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