**SCHOOL OF LIBRARY, ARCHIVES AND DOCUMENTATION STUDIES (SLADS) -BAGAMOYO**

**RESEARCH REPORT ON:**

# ASSESSMENT OF RECORDS APPRAISAL PRACTICES IN PUBLIC INSTITUTIONS. A CASE STUDY AT BAGAMOYO DISTRCT REGISTRY.

**BY**

**FARAJA GIDION**

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.

**August, 2026**

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## CERTIFICATION

The undersigned certify that he has read and hereby recommend for acceptance by the School of Library, Archives and Documentation Studies (SLADS) Bagamoyo. A Research Report entitled "***An Assessment of Records Appraisal Practices In Public Institutions".*** A case study at Bagamoyo District Registry in Fulfillment of the Requirements for award of Ordinary Diploma in Records and Archives Management.

.

**Signature _____**

**(Supervisor)**

**Date_____**



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## DEDICATION

I dedicate this research report to my family and who encouragement and enthusiasm during this period while providing all necessary support to my studies.



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## LIST OF ABBREVIATIONS

| | |
|---|---|
| BDC | Bagamoyo District Council |
| ERM | Electronic Records Management |
| ICT | Information and Communication Technology |
| ISO | International Standard Organization |
| 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 records appraisal practices in public institutions using Bagamoyo District Council as a case study. The study was conducted to examine staff awareness and understanding of records appraisal procedures, identify the methods and criteria used in appraising records, assess the availability and use of appraisal guidelines, policies, and retention schedules, and determine the challenges affecting effective records appraisal practices.

The study employed a case study research design and adopted a qualitative research approach. Data were collected from a sample of 30 respondents, whereby 25 respondents were issued questionnaires, of which 20 successfully returned them, while 5 key informants participated in interviews. Quantitative data were analyzed using frequencies and percentages with the aid of Microsoft Excel and presented in tables, whereas qualitative data were analyzed using thematic analysis and supported by respondents' quotations.

The findings revealed that the majority of respondents were aware of records appraisal procedures and had a good understanding of appraisal practices. Most respondents acquired their knowledge through personal experience and on-the-job training rather than formal professional education. The study further found that retention schedules and legal and administrative value assessment were the most commonly used methods for appraising records, while financial and administrative value were the main criteria used in determining whether records should be retained or disposed of. The findings also identified several challenges affecting effective records appraisal practices, including lack of appraisal guidelines and retention schedules, inadequate training of records personnel, poor records management infrastructure, and limited management support.

The study concludes that although records appraisal practices are implemented at Bagamoyo District Council, their effectiveness is constrained by inadequate institutional support, insufficient professional training, and limited application of standardized




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appraisal tools. The study recommends that public institutions strengthen records appraisal policies and retention schedules, provide continuous professional training for records management personnel, improve records management infrastructure, and allocate adequate resources to enhance effective records appraisal practices and improve organizational efficiency.



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# CHAPTER ONE

# INTRODUCTION AND BACKGROUND OF THE STUDY

## 1.0 Introduction

This chapter comprised the following aspects: the background to the study, statement of the problem, objectives of the study, research questions, significance of the study, scope of the study, limitations of the study, and definitions of key terms.

## 1.1 Background of the Study

Globally, records appraisal is recognized as a cornerstone of effective records and archives management, as it ensures that records of continuing value are identified, preserved, and made accessible while non-essential records are disposed of systematically. International standards such as ISO 15489 emphasize appraisal as a continuous process that should be integrated throughout the records life cycle to support efficiency, accountability, and compliance in public institutions (ISO 15489, 2016). Through proper appraisal practices, governments are able to safeguard institutional memory, support policy formulation, and provide evidence for administrative, legal, and historical purposes.

Despite its importance, records appraisal practices in many countries face persistent challenges. Studies conducted in both developed and developing nations reveal that appraisal decisions are often influenced by limited professional judgment, inadequate appraisal tools, and rapid growth of both paper-based and electronic records (Shepherd & Yeo, 2013). In the digital era, the complexity of appraising electronic records has further compounded these challenges, leading to backlogs, inconsistent disposal practices, and risks of losing records with long-term value.

In Africa, records appraisal practices in public institutions are shaped by historical, administrative, and socio-economic factors. Many African countries inherited recordkeeping systems from colonial administrations, which were not adequately adapted to meet post-independence governance and accountability needs. Although several countries have enacted archival legislation and established national archives institutions,



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the practical implementation of appraisal procedures at the organizational level remains weak (Kemoni, 2007).

In Tanzania, records appraisal in public institutions is governed by the Records and Archives Management Act No. 3 of 2002, which provides a legal framework for the creation, maintenance, appraisal, and disposal of public records. The Act mandates public offices to collaborate with the National Archives of Tanzania in appraising records and transferring those with enduring value for permanent preservation. Proper implementation of these provisions is essential for ensuring accountability, transparency, and efficient service delivery within public institutions (United Republic of Tanzania, 2002).

### 1.2 Statement of the Problem

Records appraisal is a fundamental function in records management because it determines which records should be retained for operational, legal, fiscal, and historical purposes and which should be disposed of (Shepherd & Yeo, 2013). Effective appraisal enables public institutions to control the growth of records, facilitate efficient retrieval of information, and preserve records of enduring value for accountability and institutional memory (ISO 15489, 2016). However, despite the existence of professional standards and legal frameworks, many public institutions continue to experience challenges in implementing proper records appraisal practices. In several cases, records are retained longer than necessary or disposed of without systematic appraisal, resulting in overcrowded registries, increased storage costs, and difficulties in accessing vital information needed for decision-making and service delivery (Ngoepe, 2014).

In Tanzania, records appraisal is governed by the Records and Archives Management Act No. 3 of 2002, which provides a legal framework for the proper appraisal and disposal of public records (United Republic of Tanzania, 2002). Nevertheless, the practical implementation of these provisions remains inadequate in many public institutions. Challenges such as limited staff awareness of appraisal procedures, lack of trained records management personnel, absence of clear retention schedules, and weak enforcement mechanisms contribute to inconsistent and ineffective appraisal practices (Mnjama & Wamukoya, 2007). Consequently, public institutions continue to face inefficiencies in service delivery, poor decision-making, and reduced transparency. This situation creates a



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need to assess records appraisal practices in public institutions in order to identify existing gaps and propose appropriate measures for improvement.

### 1.3 General Objective

The general objective of this study was to assess records appraisal practices in public institutions in order to determine their effectiveness in supporting efficient records management and service delivery.

#### 1.3.1 Specific Objectives

The specific objectives of this study was to:

i. To examine staff awareness and understanding on records appraisal procedures in public institutions.
ii. To identify the methods and criteria used in appraising records in public institutions.
iii. To assess the availability and use of appraisal guidelines, policies, and retention schedules in public institutions.
iv. To determine challenges affecting effective records appraisal practices in public institutions.

### 1.4 Research Questions

1. What is the level of staff awareness and understanding of records appraisal procedures in public institutions?
2. What methods and criteria are used in appraising records in public institutions?
3. To what extent are appraisal guidelines, policies, and retention schedules available and used in public institutions?
4. What challenges affect effective records appraisal practices in public institutions?

### 1.5 Significance of the Study

This study was significant to public institutions, records management and archival staff, and policy makers involved in records and archives management.



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**Public Institutions**

The findings of this study were beneficial to public institutions by providing an understanding of the existing records appraisal practices and identifying gaps that hindered effective records management. The findings also assisted management in improving appraisal procedures, reducing records congestion, and enhancing efficiency in records management and service delivery.

**Records Management and Archival Staff**

The study was valuable to records management and archival staff by increasing their understanding of proper records appraisal practices. It also highlighted the importance of adhering to appraisal guidelines, retention schedules, and legal frameworks, thereby promoting professionalism, accountability, and consistency in managing public records.

**Policy Makers and Archival Authorities**

The study was beneficial to policy makers and archival authorities, such as the National Archives, by providing empirical evidence that could support the review and implementation of records management policies and legal frameworks. Furthermore, the findings contributed to strengthening staff training programmes, policy implementation, and supervisory mechanisms in public institutions.

## 1.6 Scope of the Study

This study focused on assessing records appraisal practices in public institutions, with particular attention to staff awareness of appraisal procedures, methods and criteria used in appraising records, the availability and use of appraisal guidelines and retention schedules, and the challenges affecting effective records appraisal. The study targeted records management personnel, registry staff, and administrative officers who were directly involved in records appraisal activities at Bagamoyo District Council.

Geographically, the study was conducted at Bagamoyo District Council in Pwani Region, Tanzania. The study was limited to records appraisal functions and did not cover other records management activities such as records creation, classification, storage,



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preservation, or disposal. The findings reflected the situation during the period of data collection and provided recommendations for improving records appraisal practices within public institutions.

### 1.7 Limitations of the Study

**Inadequate funding** poses a significant limitation to this study. The budget allocated is limited and may not fully cover all research-related expenses such as extensive data collection, printing of research instruments, and transportation to different public institutions within the study area. To address this challenge, the researcher adopts cost-effective measures, including limiting the number of study sites and focusing on key respondents who are directly involved in records appraisal activities.

**Time constraints** also affect the depth of the study. The research is conducted within a fixed academic schedule, which limits the opportunity to explore all aspects of records appraisal practices in greater detail. As a result, the researcher concentrates on the most relevant areas of records appraisal to ensure that the study objectives are achievable within the available time.

**Lack of research experience** is another limitation, as the researcher is still developing skills in research design, data collection, and data analysis. This limitation is mitigated through regular consultation with supervisors, adherence to standard research procedures, and the use of appropriate research instruments to enhance the reliability and validity of the findings.

**Limited access** to respondents further constrains the study. Some records management staff and administrative officers may be unavailable due to official duties, tight work schedules, or institutional commitments, which affects the pace of data collection. To overcome this challenge, the researcher schedules data collection at convenient times, uses flexible data collection methods, and assures respondents of confidentiality to encourage their participation.



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## 1.7 Definition of Key Terms

### Records

Records refer to information created, received, and maintained by an organization or individual as evidence of activities, transactions, or decisions, regardless of format or medium (ISO 15489, 2016).The purpose of this study is to assess the records appraisal practices at Bagamoyo District Council. Specifically, the study aims to examine how records appraisal is conducted, identify the factors affecting appraisal practices, assess the challenges faced by records management staff during the appraisal process, and propose recommendations for improving records appraisal practices to ensure effective records management and preservation of records with enduring value.

### Records Appraisal

Records appraisal is the process of determining the value of records in order to decide how long they should be retained and whether they should be preserved permanently or disposed of (Shepherd & Yeo, 2013).For the purpose of this study, records appraisal refers to the process of evaluating records at Bagamoyo District Registry to determine their value and decide whether they should be retained for a specific period, transferred to archives, or disposed of according to approved policies and legal requirements.

### Records Management

Records management is the systematic control of records throughout their life cycle, including creation, maintenance, appraisal, retention, and disposal, to ensure efficiency, accountability, and compliance with legal requirements (ISO 15489, 2016).For the purpose of this study, records management refers to the systematic creation, classification, storage, maintenance, appraisal, retrieval, retention, and disposal of records at Bagamoyo District Registry to support efficient service delivery and legal compliance.

### Public Institutions

Public institutions are government-owned organizations established to provide public services and carry out administrative, regulatory, or developmental functions on behalf of the state (United Republic of Tanzania, 2002).For the purpose of this study, public



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institutions refer to government-owned organizations responsible for providing public services, specifically Bagamoyo District Registry, where the study was conducted.

**Retention Schedule**

A retention schedule is a document that specifies how long different categories of records should be kept and outlines actions to be taken after the retention period expires, such as transfer to archives or disposal (Penn, Pennix, & Coulson, 2018).For the purpose of this study, a retention schedule refers to an official document used at Bagamoyo District Registry to determine how long records should be kept and the appropriate action to be taken after the retention period expires.

**Disposal of Records**

Disposal of records refers to the actions taken to remove records from active systems, either through destruction or transfer to archival custody, in accordance with approved appraisal decisions and legal requirements (Shepherd & Yeo, 2013).For the purpose of this study, disposal of records refers to the authorized destruction or transfer of records that are no longer required for administrative, legal, or historical purposes, following approved appraisal decisions.

**Legal Framework**

A legal framework consists of laws, regulations, and policies that govern records and archives management practices within an institution or country (Mnjama & Wamukoya, 2007).For the purpose of this study, legal framework refers to the laws, regulations, policies, and guidelines that govern records appraisal and records management practices in public institutions in Tanzania.



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# CHAPTER TWO

# LITERATURE REVIEW

## 2.0 Introduction

Literature review is a written summary of journal articles, books and other documents like conference papers and government documents that describes the past and current state of information on the topic of your research study (Creswell, 2013). It covers definition of key terms, Theoretical literature review, empirical literature review, Research gap and conceptual framework.

## 2.1 Staff Awareness and Understanding of Records Appraisal Procedures

Staff awareness and understanding of records appraisal procedures are essential for ensuring effective records management in public institutions. Records appraisal requires knowledge of legal requirements, retention schedules, and institutional policies to determine the value and disposition of records (Shepherd & Yeo, 2013). When staff members understand appraisal principles, they are better positioned to make informed decisions regarding retention and disposal. ISO 15489 (2016) emphasizes that organizations should ensure that personnel responsible for records management are properly trained and aware of their roles in appraisal processes.

Different studies indicate that limited staff awareness negatively affects the implementation of records appraisal procedures. In many public institutions, appraisal responsibilities are assigned to staff without formal training in records and archives management, resulting in inconsistent appraisal decisions (Duranti, 2015). Lack of professional knowledge often leads to either over-retention of records or premature disposal of important documents. This situation undermines institutional accountability and transparency.

In the African context, research shows that inadequate awareness and limited professional capacity are major barriers to effective records appraisal. Kemoni (2007) notes that in several African countries, records personnel often lack sufficient knowledge of appraisal



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standards and procedures. Similarly, Ngoepe (2014) argues that insufficient training and awareness among public officials contribute to poor records control and ineffective disposal practices.

Despite the presence of the Records and Archives Management Act No. 3 of 2002, awareness of appraisal procedures among staff in public institutions remains limited (United Republic of Tanzania, 2002). Mnjama and Wamukoya (2007) observe that many registry personnel have not received adequate professional training in records appraisal. As a result, appraisal decisions are sometimes delayed or improperly conducted, leading to congestion and inefficiencies in records management systems.

### 2.2 Methods and Criteria Used in Appraising Records

Records appraisal involves systematic methods and criteria for determining the value of records. According to Shepherd and Yeo (2013), appraisal decisions are based on administrative, legal, fiscal, and historical values of records. These criteria help institutions decide whether records should be retained temporarily, permanently preserved, or destroyed. International standards recommend the use of structured appraisal frameworks to ensure consistency and accountability (ISO 15489, 2016).

Appraisal methods have evolved to include both traditional and modern approaches. Traditional methods rely on functional analysis and retention scheduling, while modern approaches increasingly address digital records and metadata analysis (Duranti, 2015). The shift toward electronic records management systems requires institutions to adopt more systematic and technologically informed appraisal techniques to manage large volumes of digital information effectively.

In public institutions, appraisal methods are often guided by national archival laws; however, implementation remains inconsistent. Kemoni (2007) notes that some institutions rely heavily on outdated retention schedules that do not reflect current administrative realities. Ngoepe (2014) further observes that appraisal decisions in some cases are made without comprehensive documentation of criteria, which reduces transparency and increases the risk of improper disposal.



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In Tanzania, appraisal criteria are guided by the Records and Archives Management Act and directives from the National Archives (United Republic of Tanzania, 2002). However, Mnjama and Wamukoya (2007) report that many public institutions do not consistently apply standardized appraisal criteria. In some cases, appraisal is conducted irregularly or based on subjective judgment rather than approved retention schedules, affecting the effectiveness of records control.

### 2.3 Availability and Use of Appraisal Guidelines, Policies, and Retention Schedules

The availability of appraisal guidelines and retention schedules is fundamental to effective records management. Retention schedules provide clear instructions on how long records should be kept and what action should follow after the retention period expires (Penn, Pennix, & Coulson, 2018). When properly implemented, these tools promote systematic disposal and preservation of records, reducing unnecessary accumulation.

Internationally, well-developed records management systems depend on comprehensive policies and documented appraisal procedures (ISO 15489, 2016). Shepherd and Yeo (2013) argue that retention schedules must be regularly reviewed and updated to align with organizational functions and legal requirements. Without updated policies, appraisal practices may become ineffective and inconsistent.

Although many countries have established archival legislation, the actual use of appraisal guidelines at the institutional level remains limited. Kemoni (2007) notes that retention schedules are sometimes unavailable or outdated, leading to improper records retention. Ngoepe (2014) also highlights weak policy enforcement as a challenge affecting the effective application of appraisal frameworks.

The Records and Archives Management Act No. 3 of 2002 provides a legal foundation for appraisal guidelines and retention schedules (United Republic of Tanzania, 2002). However, studies indicate that some public institutions lack updated retention schedules or fail to implement them consistently (Mnjama & Wamukoya, 2007). This gap between policy and practice affects the efficiency of records management systems in public institutions.



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## 2.4 Challenges Affecting Effective Records Appraisal Practices

Effective records appraisal practices face numerous challenges across the world. One major challenge is the rapid growth of both paper-based and electronic records, which complicates appraisal processes (Duranti, 2015). Additionally, limited financial resources and lack of technological infrastructure hinder the proper implementation of appraisal systems in many institutions (ISO 15489, 2016).

Many public institutions, challenges such as inadequate funding, shortage of trained personnel, and weak institutional support significantly affect appraisal practices (Ngoepe, 2014). Kemoni (2007) notes that poor management support often leads to neglect of records management functions, including appraisal, thereby contributing to records congestion and inefficiencies.

In Tanzania, common challenges include limited professional training, lack of regular supervision, and insufficient collaboration between public institutions and the National Archives (Mnjama & Wamukoya, 2007). These factors contribute to delays in appraisal activities and inconsistent application of retention schedules.

Furthermore, organizational culture and resistance to change can affect appraisal practices. Some public officials may hesitate to dispose of records due to fear of accountability or uncertainty about legal implications (Shepherd & Yeo, 2013). Such challenges emphasize the need for continuous training, strong policy enforcement, and institutional commitment to improve records appraisal practices in public institutions.

## 2.5 Research Gap

The reviewed literature indicates that records appraisal is a fundamental component of effective records management in public institutions. Previous studies have discussed the importance of appraisal procedures, retention schedules, and legal frameworks in ensuring accountability and efficiency (Shepherd & Yeo, 2013; ISO 15489, 2016). Other studies, particularly in the African context, have highlighted challenges such as limited professional capacity, weak enforcement of policies, and inadequate training among records personnel (Kemoni, 2007; Ngoepe, 2014). In Tanzania, research has also pointed



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out gaps in the implementation of records management laws and the inconsistent application of appraisal guidelines in public institutions (Mnjama & Wamukoya, 2007).

Though, much of the existing literature focuses broadly on records management practices rather than specifically examining records appraisal practices as a distinct function. Additionally, limited empirical studies have comprehensively assessed staff awareness, appraisal methods and criteria, availability of retention schedules, and practical challenges affecting appraisal within Tanzanian public institutions. Therefore, there remains a contextual and empirical gap in understanding how records appraisal is actually practiced at the institutional level. This study seeks to fill that gap by providing a systematic assessment of records appraisal practices in public institutions, with particular attention to staff awareness, application of guidelines, and challenges affecting effective implementation.



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# CHAPTER THREE

# RESEARCH METHODOLOGY

## 3.0 Introduction

This chapter presents the research methodology that was used in conducting the study. It describes the research approach, research design, area of the study, population of the study, sample size, sampling techniques, data collection methods, data collection instruments, data analysis techniques, validity and reliability of research instruments, and ethical considerations. These methodological aspects guided the researcher in collecting and analyzing data related to records appraisal practices in public institutions, with particular focus on Bagamoyo District Council.

## 3.1 Research Approach

This study employed a mixed research approach, which involved the use of both quantitative and qualitative methods in collecting and analyzing data. Quantitative data were collected using structured questionnaires in order to obtain measurable information regarding staff awareness, methods and criteria used in records appraisal, availability of appraisal guidelines, and challenges affecting records appraisal practices. Qualitative data were obtained through interviews to gain deeper understanding of records appraisal practices and experiences among staff involved in records management activities.

The use of a mixed research approach enabled the researcher to obtain comprehensive information and enhance the reliability of the study findings. According to Creswell (2014), a mixed research approach allows researchers to combine the strengths of both quantitative and qualitative methods in order to develop a more complete understanding of a research problem.

## 3.2 Area of the Study

The study was conducted at Bagamoyo District Council, which is located in Pwani Region, Tanzania. Bagamoyo District Council is a local government authority responsible for providing administrative and public services to the community within the district. The



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council was selected as the study area because it generates, receives, and manages a large volume of administrative and operational records in the course of its daily activities. These records include personnel records, financial records, correspondence files, and other official documents that require effective appraisal and management.

Therefore, Bagamoyo District Council provided a suitable environment for examining records appraisal practices, including staff awareness of appraisal procedures, methods and criteria used in appraising records, availability of appraisal guidelines and retention schedules, and challenges affecting effective records appraisal practices.

### 3.3 Research Design

This study adopted a case study research design. A case study design involves an in-depth investigation of a particular institution, organization, or group in order to obtain detailed information about a specific phenomenon. The case study design was considered appropriate because the study focused specifically on records appraisal practices at Bagamoyo District Council.

According to Yin (2018), a case study design enables researchers to examine real-life situations and explore complex issues within their natural settings. This design allowed the researcher to obtain detailed information about staff awareness of records appraisal procedures, methods and criteria used in appraising records, availability and use of appraisal guidelines and retention schedules, and challenges affecting effective records appraisal practices within the Council.

### 3.4 Population of the Study

Population refers to the total number of individuals or elements that share common characteristics and from which the researcher intends to collect information (Kothari, 2004). The population of this study consisted of staff working at Bagamoyo District Registry who was involved in creating, handling, and managing records in their daily activities.

The study population included records management officers, registry staff, departmental officers, and administrative staff. These groups were considered relevant because they



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interact with organizational records and therefore possess valuable information regarding records management practices and staff awareness of policies and procedures.

### 3.5 Sample Size

Sample size refers to the number of respondents selected from the population to participate in the study. According to Creswell (2014), selecting an appropriate sample size helps the researcher obtain representative data while reducing time and costs associated with studying the entire population.

The method was use to get sample size of 30 respondents by obtain using Yamene's formula as indicated below;

$$n = \frac{N}{1} + N(e)2 \quad OR \quad \frac{N}{(1 + N(e)^2}$$

Where, **n:** represents the number of samples

**N**: represents the size of target population

**e:** represents the estimated error

The target population at Bagamoyo District Council is 200 students, and the estimated error is 10% = (0.10) then sample size was obtain as follows;

$$n = \frac{200}{1 + 200(0.10)^2} = 15$$

**n= 15 sample sizes**

For the purpose of this study, the researcher selected a sample size of 30 respondents from Bagamoyo District Registry. This sample size was consider adequate to provide relevant information regarding staff awareness of records appraisal and practice and their influence on effective records management.



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The distribution of respondents was as follows:

| **Respondents** | **Number of Respondents** |
|---|---|
| Records management staff | 4 |
| Registry officer | 1 |
| Departmental officers/HODs | 4 |
| Administrative staff | 6 |
| **Total** | 15 |

### 3.6 Sampling Techniques

Sampling technique refers to the method used to select participants from the population. This study employed purposive sampling and simple random sampling techniques**.** Purposive sampling was used to select records management officers and registry staff because they possess specialized knowledge about records appraisal and practices within the Registry. According to Patton (2002), purposive sampling allows the researcher to select respondents who have relevant knowledge and experience related to the research topic.

Simple random sampling used to select departmental and administrative staff in order to give every member of the population an equal chance of being selected. This technique helped reduce bias and ensured that the sample represented different departments within the Registry.

#### 3.6.1Purposive sampling

Purposive sampling is a non-probability sampling technique in which the researcher deliberately selects participants who have the knowledge, experience, or characteristics relevant to the study. The participants are chosen because they can provide useful and reliable information.Example: In a study on records appraisal practices, the researcher



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may purposively select Records Officers, Registry Officers, and Heads of Registry because they have direct experience in records management.

### 3.6.2 Simple Random Sampling

Simple random sampling is a probability sampling technique in which every member of the target population has an equal chance of being selected. Participants are chosen randomly without any bias.

Example: If there are 30 employees in an institution, the researcher may randomly select 20 employees using a lottery method or a computer-generated random selection. Each employee has an equal chance of being chosen.

## 3.7 Data Collection Methods

The study used both primary and secondary data collection methods**.**

### 3.7.1 Primary Data

Primary data was collected directly from respondents through questionnaires and interviews.

### 3.7.2 Secondary Data

Secondary data was obtain from documents such as books, journal articles, government reports, records management policies, and other relevant publications. These sources helped the researcher understand existing literature related to records appraisal and staff awareness.

## 3.8 Data Collection Instruments

The study used the following instruments to collect data:

### 3.8.1Questionnaire

is a research instrument consisting of a set of structured or semi-structured questions used to collect information from respondents about records appraisal practices, including the procedures, policies, challenges, and experiences related to the appraisal of records within



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an organization. Protects confidentiality help to ensures that sensitive and personal information is kept secure and only accessed by authorized people, Promotes fairness and objectivity. This records are appraised based on their value and approved criteria, not on personal opinions or bias. Questionnaires were preferred because they allow researchers to collect data from a large number of respondents within a short time (Kothari, 2004).

### 3.8.2 Interview Guide

An interview guide used to collect qualitative data from selected respondents such as records management officers and registry staff. Interviews enabled the researcher to obtain detailed information regarding records management practices and staff awareness within the Registry.

## 3.9 Data Analysis Techniques

Data analysis refers to the process of organizing, summarizing, and interpreting collected data in order to obtain meaningful results. Quantitative data collected through questionnaires analyzed by using descriptive statistics such as frequencies and percentages. The analyzed data was be presented by using tables and charts to enhance clarity and understanding.

Qualitative data obtained through interviews was be analyzed by using thematic analysis, where responses from respondents was organize into themes based on the research objectives. According to Creswell (2014), thematic analysis helps researchers identify patterns and themes in qualitative data.

## 3.10 Validity and Reliability of Research Instruments

**Validity** refers to the extent to which research instruments measure what they are intended to measure. To ensure validity, the research instruments were carefully designed based on the research objectives and reviewed by academic supervisors before data collection.

**Reliability** refers to the consistency of research instruments in producing similar results when used repeatedly under similar conditions (Kothari, 2004). Reliability was ensuring by using clear and simple questions that respondents could easily understand.



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### 3.11 Ethical Considerations

Ethical considerations were observed during the research process to ensure that the rights and dignity of respondents were protected. The researcher was obtain permission from relevant authorities at Bagamoyo District Registry before conducting the study. Respondents informed about the purpose of the study and their participation was voluntary. Confidentiality and anonymity of respondents were maintained to ensure that the information provided was use strictly for academic purposes.



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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 from respondents regarding records appraisal practices at Bagamoyo District Council. The findings focus on staff awareness and understanding of records appraisal procedures, methods and criteria used in appraising records, availability and use of appraisal guidelines and retention schedules, and challenges affecting effective records appraisal practices in public institutions. The findings are presented according to the objectives of the study and are intended to answer the research questions that guided the study.

The chapter is organized into two major sections. The first section presents demographic characteristics of respondents, including gender, age, education level, position, and work experience. The second section presents and discusses the findings according to the specific objectives of the study. Specifically, the study sought to examine staff awareness and understanding of records appraisal procedures in public institutions, identify the methods and criteria used in appraising records, assess the availability and use of appraisal guidelines, policies, and retention schedules, and determine challenges affecting effective records appraisal practices at Bagamoyo District Council.

Quantitative data collected through questionnaires are analyzed using descriptive statistics, including frequencies and percentages. The findings are presented in tables to simplify interpretation and understanding of the results. Qualitative data obtained through interviews are analyzed using thematic analysis, where responses are grouped into themes and discussed in relation to the study objectives and literature reviewed in Chapter Two.



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### 4.1 Demographic Characteristics of Respondents

This section presents the demographic characteristics of respondents who participated in the study on the assessment of records appraisal practices at Bagamoyo District Council. The study involved a total of 15 respondents, whereby 10 respondents were issued questionnaires for quantitative data collection. Out of the distributed questionnaires, 10 were successfully returned and used for data analysis, representing the questionnaire response rate. In addition, 5 respondents participated in interviews to provide qualitative information related to records appraisal practices in the institution. The responses from interview participants are presented in quotation form to support and enrich the quantitative findings.

The demographic characteristics considered in this study included gender, age, level of education, position in the institution, and work experience. These characteristics were important in understanding the background of respondents and how their professional and educational attributes might influence their awareness and understanding of records appraisal procedures, application of appraisal methods and criteria, use of appraisal guidelines and retention schedules, and experiences regarding challenges affecting records appraisal practices.

#### 4.1.1 Age of Respondents

The study examined the age distribution of respondents in order to understand the age groups involved in records appraisal activities at Bagamoyo District Council. Age was considered important because it may influence respondents' experience, knowledge, and involvement in records management practices.

**Table 4.1.1: Ages of Respondent (N=10)**

| Ages | Frequency (n) | Percentage (%) |
|---|---|---|
| 20-29 | 3 | 30% |
| 30-39 | 5 | 50% |
| 40-49 | 2 | 20% |
| 50 and above | 0 | 0% |
| **Total** | **10** | **100** |

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



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The findings presented in Table 4.1.1 indicate that 5 respondents (50%) were aged between 30 and 39 years, followed by 3 respondents (30%) who were aged between 20 and 29 years. Furthermore, 2 respondents (20%) were aged between 40 and 49 years, while no respondent was aged 50 years and above. The findings show that most respondents were adults with working experience, which enabled them to provide relevant information regarding records appraisal practices at Bagamoyo District Council.

### 4.1.2 Level of Education

The study also examined the education level of respondents to determine their academic background and its influence on their understanding of records appraisal practices. Education level is important in records management because professional knowledge and skills acquired through education contribute to effective management of institutional records.

**Table 4.1.2: Level of Respondent (N=10)**

| Level | Frequency (n) | Percentage (%) |
|---|---|---|
| Certificate | 4 | 40% |
| Diploma | 5 | 50% |
| Degree | 1 | 10% |
| **Total** | **10** | **100** |

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

The findings in Table 4.1.2 show that 5 respondents (50%) had diploma-level education, 4 respondents (40%) had certificate-level education, while 1 respondent (10%) had a degree qualification. The findings indicate that the majority of respondents had attained diploma and certificate qualifications, suggesting that most participants possessed relevant educational backgrounds to understand and participate in records management activities, including records appraisal.



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### 4.1.3 Working Experience of Respondents

The study further examined the working experience of respondents to determine their level of exposure to records management activities. Working experience was considered important because employees with longer service periods are likely to have gained practical knowledge regarding records appraisal procedures and practices.

**Table 4.1.3: Working Experience of Respondent (N=10)**

| **Working** Experience | **Frequency (n)** | **Percentage (%)** |
|---|---|---|
| Below 1 year | 1 | 10% |
| 1 – 5 years | 7 | 70% |
| 6 - 10 years | 2 | 20% |
| 10 years and above | 0 | 0% |
| **Total** | **10** | **100** |

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

The findings indicate that 7 respondents (70%) had working experience of between 1 and 5 years, 2 respondents (20%) had 6–10 years of experience, while 1 respondent (10%) had less than one year of working experience. No respondent had worked for 10 years and above. These findings suggest that most respondents had adequate exposure to records management activities, enabling them to provide reliable information regarding records appraisal practices at Bagamoyo District Council.

### 4.2 Staff Awareness of Records Appraisal Procedures in the Institution

This section presents findings on staff awareness of records appraisal procedures at Bagamoyo District Council. Awareness of records appraisal procedures is important for ensuring proper retention, disposal, and preservation of records within public institutions. Staff members need to understand appraisal procedures in order to manage records effectively and comply with institutional policies and legal requirements. Respondents were asked whether they were aware of records appraisal procedures used in their institution.



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**Table 4.2: Staff Awareness of Records Appraisal Procedures (N = 10)**

| Awareness | Frequency (n) | Percentage (%) |
|---|---|---|
| Yes | 7 | 70% |
| No | 2 | 20% |
| Not sure | 1 | 10% |
| **Total** | **10** | **100%** |

**Source: Field Study (2026)**

The findings in Table 4.2 indicate that 7 respondents (70%) were aware of records appraisal procedures used in the institution, while 2 respondents (20%) reported that they were not aware of such procedures. Other, 1 respondents (10%) was not sure whether records appraisal procedures existed in the institution. These findings suggest that the majority of respondents had awareness of records appraisal procedures, which may contribute to better management and control of records within the institution.

Interview findings further revealed that awareness of records appraisal procedures was mainly gained through workplace experience, professional training, and institutional guidelines. One interview respondent explained:

> *"..Most staff become aware of records appraisal procedures through daily handling of records and guidance from senior records officers."*

Another staff stated:

> *"..Although some staff are aware of appraisal procedures, there is still a need for more training and awareness programs to improve understanding among employees."*

The findings imply that while awareness of records appraisal procedures exists among many staff members, some employees still lack adequate understanding of the procedures. This may affect consistency and effectiveness in records appraisal practices within the institution.



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### 4.3 Acquisition of Knowledge on Records Appraisal Procedures

This section presents findings on how staff members acquired knowledge about records appraisal procedures at Bagamoyo District Council. Knowledge of records appraisal procedures is important because it enables staff to perform records management activities effectively and in accordance with institutional requirements. Respondents were asked to indicate the main ways through which they acquired knowledge and understanding of records appraisal procedures within the institution.

**Table 4.3: Acquisition of Knowledge on Records Appraisal Procedures (N = 10)**

| Response | Frequency (n) | Percentage (%) |
|---|---|---|
| Formal education or professional training | 1 | 10% |
| On-the-job training | 2 | 20% |
| Workshops or seminars | 1 | 10% |
| Personal experience | 6 | 60% |
| **Total** | **10** | **100%** |

**Source: Field Study (2026)**

The findings presented in Table 4.3 indicate that 6 respondents (60%) acquired knowledge of records appraisal procedures through personal experience, while 2 respondents (20%) gained knowledge through on-the-job training. In addition, 1 respondent (10%) reported acquiring knowledge through workshops or seminars, and only 1 respondent (10%) indicated formal education or professional training as the source of knowledge. These findings suggest that most staff members relied heavily on practical experience rather than formal professional training to understand records appraisal procedures.

Interview findings also revealed that many employees learned records appraisal practices through routine work activities and guidance from experienced staff members. One of Head of Department specified:

> *"..Most of the knowledge we have about records appraisal comes from daily work experience and support from senior staff in the registry office."*



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Another registry staff clarified:

> *"..Training opportunities related to records appraisal are limited, so many staff depend on experience gained while performing their duties."*

The findings imply that although staffs possess some knowledge regarding records appraisal procedures, there is limited formal training and professional development related to records appraisal practices. This situation may affect consistency and effectiveness in the implementation of records appraisal activities within the institution.

### 4.4 Level of Understanding of Records Appraisal Procedures

This section presents findings on staff members' level of understanding of records appraisal procedures at Bagamoyo District Council. Understanding of records appraisal procedures is important because it enables staff to correctly identify records of value, apply retention schedules, and make appropriate disposal decisions in line with institutional policies and legal requirements. Respondents were asked to rate their level of understanding of records appraisal procedures used in the institution.

**Table 4.4: Level of Understanding of Records Appraisal Procedures (N = 10)**

| Response | Frequency (n) | Percentage (%) |
|---|---|---|
| Very good | 1 | 10% |
| Good | 6 | 60% |
| Moderate | 2 | 20% |
| Poor | 1 | 10% |
| **Total** | **10** | **100%** |

**Source: Field Study (2026)**

The findings in Table 4.4 indicate that 1 respondent (10%) rated their understanding of records appraisal procedures as very good, while 6 respondents (60%) rated their understanding as good. In addition, 2 respondents (20%) indicated a moderate level of understanding, and 1 respondent (10%) reported poor understanding of records appraisal procedures. These findings suggest that the majority of respondents have a good level of



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understanding of records appraisal procedures, which implies a relatively positive capacity for managing records appraisal activities within the institution.

The results further indicate that although most staff members have a good understanding, a small proportion still have limited knowledge of appraisal procedures. This may lead to inconsistencies in the application of appraisal guidelines and retention schedules in some departments. During interview respondent noted that:

> *"..Most staff understand basic appraisal procedures, but some still need more training to fully apply the guidelines correctly."*

Among of respondent added that:

> *"..Understanding is generally good, but continuous training is necessary to improve consistency in decision-making during appraisal."*

The findings therefore imply that while the institution has a reasonably informed workforce in relation to records appraisal procedures, continuous professional development is still necessary to strengthen understanding and ensure uniform application of appraisal practices across all departments.

### 4.5 Methods Used in Appraising Records in the Institution

This section presents findings on the methods used in appraising records at Bagamoyo District Council. Records appraisal methods are important because they guide staff in determining the value of records and deciding whether they should be retained, transferred, or disposed of. Respondents were asked to identify the methods used in their institution when conducting records appraisal activities in line with institutional policies and legal requirements.



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**Table 4.5: Methods Used in Appraising Records (N = 10)**

| Response | Frequency (n) | Percentage (%) |
|---|---|---|
| Retention schedules | 4 | 40% |
| Functional analysis | 2 | 20% |
| Legal and administrative value assessment | 3 | 30% |
| Instructions from management | 1 | 10% |
| **Total** | **10** | **100%** |

**Source: Field Study (2026)**

The findings in Table 4.5 show that 4 respondents (40%) indicated that retention schedules are used in appraising records, while 3 respondents (30%) reported that legal and administrative value assessment is applied. In addition, 2 respondents (20%) stated that functional analysis is used, and 1 respondent (10%) indicated that instructions from management are also used in the appraisal process. These findings suggest that retention schedules are the most commonly used method in records appraisal at Bagamoyo District Council.

The results further indicate that although formal appraisal tools such as retention schedules and functional analysis are used, some appraisal decisions are still influenced by management instructions. This may lead to inconsistencies in the application of standard appraisal procedures. During interview respondent noted that:

> *"..Retention schedules are available, but in some cases, decisions are influenced by instructions from senior management."*

Among of staff added that:

> *"..We mainly rely on retention schedules and legal requirements, but sometimes functional assessment is also considered depending on the type of records."*

The findings therefore show that while structured methods of records appraisal exist within the institution, there is still a need to strengthen adherence to standardized appraisal criteria to ensure consistency and compliance with records management guidelines.



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### 4.6 Criteria Used in Deciding Retention or Disposal of Records

This section presents findings on the criteria used in deciding whether records should be retained or disposed of at Bagamoyo District Council. Records appraisal criteria are important because they guide records management personnel in determining the value of records based on their usefulness, legal requirements, and long-term significance. Respondents were asked to identify the main criteria used in making appraisal decisions within the institution.

**Table 4.6: Criteria Used in Appraising Records (N = 10)**

| Response | Frequency (n) | Percentage (%) |
|---|---|---|
| Administrative value. | 3 | 30% |
| Legal value | 2 | 20% |
| Financial value | 4 | 40% |
| Historical value | 1 | 10% |
| **Total** | **10** | **100%** |

**Source: Field Study (2026)**

The findings in Table 4.6 indicate that 4 respondents (40%) reported that financial value is the most commonly used criterion when deciding whether records should be retained or disposed of. This is followed by 3 respondents (30%) who indicated administrative value, 2 respondents (20%) who mentioned legal value, and 1 respondent (10%) who identified historical value as a criterion used in appraisal decisions. These results suggest that financial and administrative considerations are the most influential factors in records appraisal at Bagamoyo District Council.

The findings further imply that although multiple criteria are considered in appraisal decisions, financial and administrative values are given greater priority compared to legal and historical values. This may affect the long-term preservation of records that have historical significance. One discussion respondent noted that:



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*"..In most cases, we focus more on administrative and financial importance when deciding which records to keep or dispose of."*

Another respondent added that:

*"..Historical value is sometimes overlooked, especially when there is pressure to reduce storage space."*

The findings therefore indicate that appraisal decisions are influenced mainly by operational needs, which highlights the need for balanced application of all appraisal criteria to ensure that records of long-term value are not lost.

### 4.7 Responsibility for Making Records Appraisal Decisions

This section presents findings on the personnel responsible for making records appraisal decisions at Bagamoyo District Council. Identifying responsible officers is important because records appraisal requires professional judgment to ensure that records are properly retained, transferred, or disposed of in accordance with legal and institutional requirements. Respondents were asked to indicate the individuals or offices responsible for making appraisal decisions within the institution.

**Table 4.7: Responsibility for Making Records Appraisal Decisions (N = 10)**

| Response | Frequency (n) | Percentage (%) |
|---|---|---|
| Records management officers | 3 | 30% |
| Department heads | 1 | 10% |
| Registry staff | 6 | 60% |
| Management committee | 0 | 0% |
| **Total** | **10** | **100%** |

**Source: Field Study (2026)**

The findings in Table 4.7 show that 6 respondents (60%) indicated that registry staff are responsible for making records appraisal decisions, while 3 respondents (30%) reported that records management officers are responsible. In addition, 1 respondents (10%) stated that department heads participate in appraisal decision-making, while no respondents (0%)



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indicated that a management committee is involved in appraisal decisions. These findings suggest that registry staff play the most dominant role in records appraisal decision-making at Bagamoyo District Council.

The results further imply that appraisal decisions are largely decentralized within registry offices rather than being handled by a formal management committee. During interview respondent stated that:

> *"..Most appraisal decisions are made at the registry level by staff who handles records daily."*

Another officer added that:

> *"..Records management officers provide guidance, but the registry staff are the ones who mainly implement appraisal decisions."*

The findings therefore suggest that although multiple actors are involved in records appraisal, there is a strong reliance on registry staff. This may affect consistency in decision-making, highlighting the need for strengthened coordination and supervision to ensure adherence to standardized appraisal procedures.

### 4.8 Challenges Affecting Records Appraisal Practices

This section presents findings on the challenges experienced in conducting records appraisal at Bagamoyo District Council. Identifying these challenges is important because effective records appraisal depends on adequate skills, clear guidelines, and institutional support to ensure proper retention and disposal of records. Respondents were asked to indicate the main challenges affecting records appraisal practices in the institution.



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**Table 4.8: Challenges Affecting Records Appraisal Practices (N = 10)**

| Response | Frequency (n) | Percentage (%) |
|---|---|---|
| Lack of trained records management personnel | 3 | 30% |
| Inadequate knowledge of appraisal procedures | 1 | 10% |
| Lack of appraisal guidelines or retention schedules | 5 | 50% |
| Limited management support | 1 | 10% |
| **Total** | **10** | **100%** |

**Source: Field Study (2026)**

The findings in Table 4.8 indicate that 5 respondents (50%) identified lack of appraisal guidelines or retention schedules as the major challenge affecting records appraisal practices. In addition, 3 respondents (30%) reported lack of trained records management personnel, while 1 respondents (10%) indicated inadequate knowledge of appraisal procedures, and another 1 respondents (10%) mentioned limited management support. These results suggest that the absence of clear appraisal tools and guidelines is the most significant challenge affecting effective records appraisal at Bagamoyo District Council.

The findings further imply that inadequate institutional support and limited professional capacity also contribute to weaknesses in records appraisal practices. During conversation Head of Department specified that:

> *"..The biggest challenge is the lack of updated retention schedules, which makes it difficult to make proper appraisal decisions."*

Another staff noted that:

> *"..Some staff are not well trained in appraisal procedures, so decisions are sometimes inconsistent."*

The results therefore indicate that multiple challenges affect records appraisal practices, with policy and guideline deficiencies being the most critical. This highlights the need for improved training, stronger institutional support, and updated appraisal frameworks to enhance effective records management in the institution.



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### 4.9 Factors Affecting the Effectiveness of Records Appraisal Practices

This section presents findings on the factors affecting the effectiveness of records appraisal practices at Bagamoyo District Council. Understanding these factors is important because the effectiveness of records appraisal depends on adequate staff capacity, availability of resources, and proper infrastructure to support systematic retention and disposal of records. Respondents were asked to identify the key factors that influence the effectiveness of records appraisal practices in the institution.

**Table 4.9: Factors Affecting Records Appraisal Effectiveness (N = 10)**

| Response | Frequency (n) | Percentage (%) |
|---|---|---|
| Inadequate training of staff | 3 | 30% |
| Lack of financial resources | 1 | 10% |
| Poor records management infrastructure | 5 | 50% |
| Large volume of records | 1 | 10% |
| **Total** | **10** | **100%** |

**Source: Field Study (2026)**

The findings in Table 4.9 indicate that 5 respondents (50%) identified poor records management infrastructure as the major factor affecting the effectiveness of records appraisal practices. In addition, 3 respondents (30%) reported inadequate training of staff, while 1 respondent (10%) indicated lack of financial resources, and 1 respondent (10%) mentioned the large volume of records as a contributing factor. These findings suggest that infrastructural challenges are the most significant factors limiting effective records appraisal at Bagamoyo District Council.

The results further imply that inadequate training and limited financial resources also affect the ability of staff to carry out effective appraisal activities. One interview respondent stated that:



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*"..The system is not well developed, and sometimes we lack proper facilities for managing and appraising records efficiently."*

Another respondent said that:

*"..Staff training is not frequent, so some employees are not fully confident when making appraisal decisions."*

The findings therefore indicate that multiple interrelated factors affect records appraisal effectiveness, with infrastructure and staff capacity being the most critical. This highlights the need for improved investment in records management systems, continuous staff training, and adequate resource allocation to enhance appraisal practices.

### 4.10 Problems Arising from Ineffective Records Appraisal Practices

This section presents findings on the problems arising from ineffective records appraisal practices at Bagamoyo District Council. Understanding these problems is important because ineffective appraisal practices directly affect records organization, accessibility, and the overall efficiency of public service delivery. Respondents were asked to identify the main problems experienced as a result of ineffective records appraisal in the institution.

**Table 4.10: Problems Arising from Ineffective Records Appraisal Practices (N = 10)**

| Response | Frequency (n) | Percentage (%) |
|---|---|---|
| Overcrowded registries | 1 | 10% |
| Difficulty in retrieving records | 6 | 60% |
| Loss of important records | 1 | 10% |
| Increased storage costs | 2 | 20% |
| **Total** | **10** | **100%** |

**Source: Field Study (2026)**

The findings in Table 4.10 indicate that 6 respondents (60%) reported difficulty in retrieving records as the major problem arising from ineffective records appraisal practices. In addition, 2 respondents (20%) indicated increased storage costs, 1 respondent



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(10%) mentioned loss of important records, and 1 respondent (10%) identified overcrowded registries. These results suggest that retrieval difficulties are the most significant problem affecting records management efficiency at Bagamoyo District Council.

The findings further imply that ineffective appraisal practices contribute to inefficiencies in records management systems, particularly in accessing and retrieving important information when needed. One interview respondent stated that:

> *"..It becomes very difficult to locate some records because many files are kept without proper appraisal."*

Another respondent added that:

> *"..We spend a lot of time searching for records, and sometimes important files are missing or misplaced."*

The findings therefore indicate that ineffective records appraisal practices lead to serious operational challenges, particularly in information retrieval and storage management. This highlights the need for improved appraisal systems to enhance efficiency, accessibility, and proper control of records within the institution.



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# CHAPTER FIVE

# SUMMARY, CONCLUSION, AND RECOMMENDATIONS

## 5.0 Introduction

This chapter presents the summary of the main findings of the study, conclusions, policy implications, recommendations, and areas for further studies. The study focused on the assessment of records appraisal practices in public institutions using Bagamoyo District Council as a case study. The chapter summarizes key findings based on the research objectives, draws conclusions, and provides recommendations aimed at improving records appraisal practices in public institutions.

## 5.1 Summary of the Findings

The study aimed to assess records appraisal practices in public institutions at Bagamoyo District Council. A sample of 30 respondents was used, where 25 respondents were issued questionnaires and 20 responses were successfully returned for analysis. In addition, 5 respondents participated in interviews to provide qualitative data. Quantitative data were analyzed using Microsoft Excel and presented in tables and percentages, while qualitative data were analyzed thematically and presented using direct quotations.

### 5.1.1 Staff Awareness and Understanding of Records Appraisal Procedures

The findings revealed that most staff members were aware of records appraisal procedures, with 75% indicating awareness. The majority of respondents acquired knowledge through personal experience (60%) and on-the-job training (25%), while only a small proportion gained knowledge through formal education. The findings further showed that most respondents rated their understanding as good (60%), indicating a generally moderate level of awareness and competence in records appraisal practices.



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### 5.1.2 Methods and Criteria Used in Records Appraisal

The study found that several methods are used in records appraisal, including retention schedules (40%), legal and administrative value assessment (30%), and functional analysis (20%), and management instructions (10%). The most commonly used criteria in appraisal decisions were financial value (40%) and administrative value (30%), followed by legal (20%) and historical value (10%). This indicates that appraisal practices are mainly guided by operational and financial considerations rather than long-term archival value.

### 5.1.3 Availability and Use of Appraisal Guidelines and Retention Schedules

The findings showed that appraisal guidelines and retention schedules exist but are not consistently applied. Although some staff indicated the availability of such tools, their usage is irregular. This inconsistency affects the effectiveness of appraisal practices and leads to variations in decision-making regarding records retention and disposal.

### 5.1.4 Challenges Affecting Records Appraisal Practices

The study identified several challenges affecting records appraisal practices, including lack of appraisal guidelines or retention schedules (50%), lack of trained personnel (30%), inadequate knowledge (10%), and limited management support (10%). Additionally, poor records management infrastructure (50%) and inadequate training (35%) were identified as major factors affecting effectiveness. These challenges contribute to difficulties in retrieving records (60%), increased storage costs (25%), and loss of important records (10%).

## 5.2 Conclusion of the Study

The study concludes that records appraisal practices at Bagamoyo District Council are moderately implemented but still face significant challenges. While staff demonstrate reasonable awareness and understanding of appraisal procedures, the application of standardized appraisal tools such as retention schedules and guidelines remains inconsistent.



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The study further concludes that appraisal decisions are largely influenced by operational needs such as financial and administrative value, with less emphasis on historical preservation. This may affect long-term records preservation and institutional memory.

Moreover, the study concludes that challenges such as inadequate training, lack of proper guidelines, and weak infrastructure significantly affect the effectiveness of records appraisal practices. These issues reduce efficiency in records management and lead to problems such as difficulty in retrieving records and increased storage costs.

### 5.4 Recommendations

- The study recommends that public institutions should strengthen the development and implementation of clear records appraisal guidelines and retention schedules to ensure consistency in decision-making.
- Also, institutions should invest in continuous professional training and capacity building for records management staff to improve their competence in appraisal procedures and criteria application.
- Moreover, government and institutional management should allocate adequate resources to improve records management infrastructure, including storage systems and digital records management tools, to support effective appraisal practices.
- Finally, top management should provide stronger supervision and support to ensure compliance with appraisal procedures and promote accountability in records management practices.



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## 5.5 Areas for Further Studies

This study focused on records appraisal practices at Bagamoyo District Council. It is recommended that future studies should expand the scope by covering multiple public institutions to improve generalization of findings.

Further research should also focus on the impact of digital records management systems on records appraisal practices, as well as the role of automation in improving appraisal efficiency.

Furthermore, comparative studies between public and private institutions in Tanzania should be conducted to assess differences in records appraisal practices and challenges.



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## RESEARCH QUESTIONNAIRE

**Dear respondents,**

I am **FARAJA GIDION** a student of SLADS pursuing Diploma in Records and Archives Management. Currently I am conducting a research project titled "***An Assessment of Records Appraisal Practices in Public Institutions".***

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.

(Tick the appropriate answer where necessary)

**Section A: Demographic Information**

1. Gender
a) Male ( )
b) Female ( )

2. Age group
a) 20–29 years ( )
b) 30–39 years ( )
c) 40–49 years ( )
d) 50 years and above ( )

3. Level of education
a) Certificate ( )
b) Diploma ( )
c) Bachelor degree ( )
d) Postgraduate degree ( )

4. Position in the institution
a) Records officer ( )
b) Registry staff ( )
c) Administrative officer ( )
d) Other ( )



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5. Work experience
a) Less than 1 year ( )
b) 1–5 years ( )
c) 6–10 years ( )
d) More than 10 years ( )

6. Are you aware of records appraisal procedures used in your institution?
a) Yes ( )
b) No ( )

7. How did you acquire knowledge about records appraisal procedures?
a) Formal education or professional training ( )
b) On-the-job training ( )
c) Workshops or seminars ( )
d) Personal experience ( )

8. How would you rate your understanding of records appraisal procedures?
a) Very good ( )
b) Good ( )
c) Moderate ( )
d) Poor ( )

9. Which of the following methods are used in appraising records in your institution?
a) Retention schedules ( )
b) Functional analysis ( )
c) Legal and administrative value assessment ( )
d) Instructions from management ( )

10. What criteria are commonly used when deciding whether records should be retained or disposed of?
a) Administrative value. ( )
b) Legal value ( )
c) Financial value ( )
d) Historical value ( )

11. Who is responsible for making appraisal decisions in your institution?
a) Records management officers ( )
b) Department heads ( )
c) Registry staff ( )
d) Management committee ( )



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12. What challenges do you experience when conducting records appraisal in your institution?

a) Lack of trained records management personnel ( )
b) Inadequate knowledge of appraisal procedures ( )
c) Lack of appraisal guidelines or retention schedules ( )
d) Limited management support ( )

13. Which factors affect the effectiveness of records appraisal practices in your institution?

a) Inadequate training of staff ( )
b) Lack of financial resources ( )
c) Poor records management infrastructure ( )
d) Large volume of records ( )

14. What problems arise due to ineffective records appraisal practices in your institution?

a) Overcrowded registries ( )
b) Difficulty in retrieving records ( )
c) Loss of important records ( )
d) Increased storage costs ( )



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## INTERVIEW GUIDE

## (For Key Informants)

1. What is your position in this institution?

2. How long have you been working in this institution?

3. Are you involved in records management or records appraisal activities?

4. What is your understanding of records appraisal procedures in your institution?

5. How do staff members in this institution acquire knowledge or training about records appraisal practices?

6. Do you think staff members have adequate awareness of records appraisal procedures? Please explain.

7. What methods are used in your institution to appraise records?

8. What criteria are considered when deciding whether records should be retained or disposed of records?

9. Who is responsible for making appraisal decisions in this institution?



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## APPENDIX I

## REAEARCH WORK PLAN/ SCHEDULE TIME FRAME

The research was be 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 was require 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/= |
| 6 | Meals | 40 days @ 5000 | 200,000/= |
| | **TOTAL** | | **310,000/=** |



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# APPENDIX II

# APPROVAL LETTER

JAMHURI YA MUUNGANO WA TANZANIA

OFISI YA WAZIRI MKUU
TAWALA ZA MIKOA NA SERIKALI ZA MITAA

**HALMASHAURI YA WILAYA BAGAMOYO**

*Unapojibu tafadhali taja*

**Kumb Na.** JB.311/375/01/229 Tarehe: 19 Juni, 2026

Mkuu wa Chuo,
Chuo cha Ukutubi na Utunzaji wa Nyaraka (SLADS),
S.L.P 227,
**BAGAMOYO – PWANI.**

Yah: **RUHUSA YA KUFANYA UTAFITI KWA FARAJA JOHNSON GIDEON.**

Kichwa cha habari hapo juu cha husika.

2. Ofisi ya Mkurugenzi Mtendaji Halmashauri ya Wilaya Bagamoyo inakiri kupokea barua yako yenye na Kumb Na. **DA.201/457/VOL/1/20** isiyokuwa na tarehe yenye somo tajwa hapo juu.

3. Kwa barua hii, napenda kukufahamisha kuwa mtajwa hapo juu ameruhusiwa kufanya utafiti katika Halmashauri ya Wilaya ya Bagamoyo katika **Kata ya Makurunge Bagamoyo** katika mada **"An Assessment On Record Appraisal Practices Within An Public Office A Case Study At Bagamoyo District Council"** kwa kipindi cha kuanzia tarehe **01 Aprili 2026** hadi tarehe **01 Juni 2026.**

4. Nakutakia Utafiti mwema.

Majid S. Mhina
**KAIMU MKURUGENZI MTENDAJI**
**HALMASHAURI YA WILAYA**
**BAGAMOYO.**

KAIMU MKURUGENZI MTENDAJI
HALMASHAURI YA WILAYA
BAGAMOYO
S.L.P. 59
BAGAMOYO

**Nakala:** Mtendaji wa Kata,
Kata ya Makurunge,
Halmashauri ya Wilaya,
S.L.P. 59,
**BAGAMOYO.** - Mpokee na Umpe Ushirikiano.

Faraja Johnson Gideon - Ripoti Kwa Mtendaji wa Kata ya Makurunge.

G.N/ODM/UTAWALA

*Barua zote ziandikwe kwa Mkurugenzi Mtendaji (W)*
**Ofisi ya Mkurugenzi Mtendaji, Halmashauri ya Wilaya Bagamoyo,Barabara ya uhindini, S.L.P. 59, 61301 BAGAMOYO Mkoa wa Pwani.**
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**www.bagamoyodc.go.tz**



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