MACHAKOS UNIVERSITY

RECORDS MANAGEMENT
&
ARCHIVES ADMINISTRATION POLICY

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APPROVAL

Policy Title: Records Management & Archives Administration Policy

Policy Contact: Deputy Vice-Chancellor (Administration, Planning, and Finance)

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Category: Division of Administration, Planning and Finance

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Approved by the University Council:

Sign: .... Date: ....

Prof. Joyce J. Agalo, PhD
Vice-Chancellor

Sign: .... Date: 15/09/2023

Dr. Christopher G. Gakahu, PhD
Chairman of Council

FOREWORD

Records are both evidence of business processes and information assets. As a university, our pride is to create and capture records that meet requirements for evidence of our business processes; records that are authentic, reliable, have integrity, and are useable. We fully acknowledge the fact that records are cultural assets and reflect the level of growth of our university. Records are tools of governance that demonstrate accountability, transparency, and efficiency in service delivery.

This policy has therefore come at the right time, given that the University is transforming all its programs and functions to reflect the reality of the twenty-first century, and the demands of the new world order in information governance, transparency, and accountability. The policy will help our staff understand their role, change their mindset, and shape the way they handle records. The systems and procedures to be established as a requirement of this policy will go a long way in ensuring that records emanating from our various business processes meet legal and statutory requirements and by extension act as a shield against unforeseen business risks.

As a learning institution, we are aware of technological advantages in access, use, preservation, and dissemination of information. Towards this end, we wish to state in this policy document, not only our strategies to manage paper records but also our strategy to manage all records on electronic platforms. We aspire to move away from manual systems and embrace the E-platform by computerizing our registries and digitization of valuable records.

We aspire to have a huge information base by establishing a records center and archives. These two units will support our library in improving digital repository thus enabling Machakos University to compete effectively with other universities around the globe. The University Management will give the necessary resources required for the smooth operation and implementation of this policy.

SIGNED: ……………………………….. ……………………………………….

Prof. Joyce J.Agalo, PhD
Vice-Chancellor

Date

UNIVERSITY FUNDAMENTAL STATEMENTS

VISION

Excellence in transformative scholarship and community service

MISSION

To provide scholarship through teaching, training, research and innovation; and community service for sustainable industrial and socioeconomic transformation

Machakos University Identity Statement

Machakos University is an Academic Institution Committed to Generating and Transmitting Knowledge, Skills, and Attitudes through Science, Technology, Research, and Innovation for the Benefit of Humanity.

Machakos University Philosophy Statement

The Philosophy of Machakos University is 'Education for Industrial and Economic Transformation'

Mandate

The mandate of Machakos University is to Teach, Train, Conduct research, Innovate, Collaborate, generate new knowledge and Community Service

Core Values

Creativity: We shall use imagination and original ideas to create value for our customers.

Agility: We shall embrace urgency and flexibility in responding to customer demands

Meritocracy: We shall promote merit-based services

Professionalism: We are committed to high standards of training, research and service delivery

Integrity: We shall uphold honesty and high moral standards

Inclusivity: We shall offer equitable access to opportunities and resources

ABBREVIATIONS AND ACRONYMS:

GOK:	Government of Kenya
HR:	Human Resource
ICT:	Information Communication Technology
KNADS:	Kenya National Archives and Documentation Service.
P.F. No:	Personal File Number
QMS:	Quality Management Systems
RM:	Records Management
ICTC	The Information and Communication Technology Council

DEFINITIONS

For purposes of this Policy, the following definitions will apply:

Accessibility: Availability and ease of access to records for consultation as a result of both legal authorization and the existence of retrieval tools

Appraisal: Process of determining the value of records to establish the disposal action.

Archives: A unit in an organization where records of enduring value are maintained and preserved

Classification Scheme: Systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system.

Continuum of Care: A consistent and coherent regime of management processes from the time of the creation of records (and before creation, in the design of recordkeeping systems) through to the preservation and use of records as archives.

Current Records: Records, regularly used for the conduct of the current business of an agency, institution or organization, or an individual.

Disaster Management Plan: Organized scheme of procedures for mitigating against natural or man-made Disasters and facilitates recovery of records in the event of a disaster.

Document: Recorded information in any format which can be treated as a unit.

Electronic Record: Any combination of text, graphics, data, audio, pictorial, or other information representation in digital form that is created, modified, maintained, archived, retrieved, or distributed by a digital information system.

Electronic Records Management System: Any electronic system that manages the capture, storage, location, and retrieval of records in electronic format.

File: A group of related documents, fastened together within a file folder. A virtual file can be created for electronic documents.

Filing Systems: A logical and systematic arrangement for classifying records into subject groups or categories based on a definite scheme of natural relationships representing numerals, prefixes, or keywords for identification.

Information: Knowledge that is communicated and has facts, concepts, objects, events, ideas, or processes.

Information Planning, controlling, and exploitation of information sources within anorganization.

Medium (Media): The physical form of material on which information is recorded such as paper, film, CDs, magnetic tapes, and disks.

Non-current Records are rarely needed by the office of origin to conduct current business

records

Preservation: All measures taken, including financial and strategic decisions, to maintain the integrity and extend the life of records.

Record: Information created or received and maintained by an agency, organization, or individual in pursuance of legal obligations or the transaction of business.

Records Centre: Facility for the low-cost storage, maintenance, reference, and use of semi-current records pending their ultimate disposal.

Records Disposal: The act of removal of records from their place of origin, whether for destruction or formal transfer to records storage center or archives, of records that have reached the end of their retention period.

Records The systematic control of all records from their creation or receipt through

Management: processing, retrieval, distribution, and use, to their ultimate preservation and disposal.

Records

Management Office: Division/section responsible for management of records in an organization.

Records Management Program:	The program ensures that records are created in an organized manner of a manageable quantity and in suitable formats. It allows records to remain in offices only as long as they are current and describe procedures for the storage and disposal of non-current records.
Records Retention Schedule:	A control document describing the records of an organization establishing retention periods and providing legal authorization for their disposal.
Records Retrieval	Locating and delivering records for use.
Records Storage:	Preservation measures for keeping records under defined conditions and permitting their retrieval or the information contained in them.
Records Survey:	An exercise conducted to identify the size, scope, and complexity of an organization's records and evaluate the records management systems.
Records Value:	The usefulness of records for operating, administrative, legal, fiscal, and historical purposes.
Registry:	A unit in an organization responsible for the management of current records
Retention Period:	Period that records should be retained in their offices of origin or the records center before they are transferred to the Archives for preservation or otherwise destroyed.
Semi-Current Records:	Records occasionally required in the conduct of current business
Vital Records:	Records containing essential information necessary for the continuity or resumption of operations in the event of a disaster.

1.0 INTRODUCTION

1.1 Preamble

This policy seeks to facilitate standardization in the application of systems, procedures, and practices in the management of records of Machakos University. It seeks to address the gaps and challenges that may undermine effective and efficient records management at the University. The policy further apportions staff responsibilities concerning the management of records and hence lays a suitable institutional framework that will support the effective management of records in the entire University.

The Management of Machakos University is committed to effective records management systems, procedures, and practices that meet legal and regulatory requirements for records creation, use, maintenance, protection of privacy, and retention; a system that optimizes the use of space minimizes the cost of record storage, and methodically and systematically carry out records disposition. The policy applies to all records regardless of form, media (print or electronic), or in some other version.

1.2 Rationale of the Policy

The need to streamline records management into working processes, and the demands of ISO 9001;2015(Quality Management Systems-Requirements), ISO 15489-2 (Information and documentation – Records management), and ISO 30301:2018(E) (Information and documentation- Management systems for records – Requirements) makes it imperative to have records management and archives administration policy framework in place to address the challenges experienced in the management of records and archives in the University.

Records as a source of information are a basic resource that plays a vital role in the preservation and promotion of institutional image and identity, the realization of good governance, and having in place documented evidence upon which decisions are based. Records support daily functions and operations and act as a reference point. As evidence of official business, records have continuous use as a tool for accountability, risk management, operational continuity, and legal evidence. Properly managed records will significantly contribute to the efficiency and effectiveness of service delivery in the University. When records become archives, they form the memory of the University and are part of the wider societal memory and documentary heritage. This policy is therefore meant to guide the University, its staff, students, and stakeholders to:

a) Create and maintain authentic, useable and reliable records;
b) Establish standard registries, record center and archives
c) Make records available at points of use
d) Ensure that closed records are appraised and valuable records transferred to the record center/ archives
e) Ensure that records on electronic platform are treated as official records
f) Provide adequate resources for the management of records
g) Ensure timely disposal of records.

1.3 Scope of the Policy

The Policy applies to all records created, received, maintained, used, and preserved by all departments of the University regardless of the form and media in which they are contained. It applies to all business activities performed by or on behalf of the University in whatever manner they are conducted.

1.4 Purpose of the Policy

The purpose of this Policy is to provide guidance in the management of the University records for the purpose of ensuring that accurate and reliable records are created, used, maintained, preserved and disposed as a continuum of care.

1.5 Guiding Principles

a) Records shall be classified and maintained in line with the business processes/functions.

b) Records shall be stored and preserved in the order in which they were created.

c) Confidentiality shall be observed while managing records.

d) Destruction of records shall be informed by the law.

e) Access to records shall be controlled in line with relevant laws and University rules and regulations.

f) The perpetual existence of the University shall be guaranteed by proper records that constitute her memory.

1.6 Legislative and Regulatory Framework of the Policy

This Policy is intended to aid in the fulfillment of good corporate governance, leadership, and integrity requirements as set out in:

a) The Constitution of Kenya 2010.
b) The Leadership and Integrity Act of 2012.
c) The Public Officers and Ethics Act 2003.
d) The Universities Act No. 42 of 2012.
e) Public Archives and Documentation Service Act, 1965.
f) Access to Information Act, 2016.
g) The Data Protection Act, 2019.
h) Machakos University Charter 2016.
i). The Public Procurement and Asset Disposal Act, 2015.
j) Personnel general letter No. 1/2008. Ref. NO. DPM.12/6A. Vol. 1(71)

2.0 ADMINISTRATION OF THE POLICY

2.1 The Vice-Chancellor

a) Shall have overall responsibility on the management of records

b) Shall issue this policy for implementation

c) Shall provide overall guidance on the implementation of this Policy

2.2 Deputy Vice-Chancellor (APF)

a) In consultation with the Vice Chancellor, will be responsible for the establishment of Records Management Offices/cadre in the University.

b) Be responsible for the deployment of records management staff.

c) Be responsible for the provision of resources required for records management activities in the University

2.3 Deputy Vice-Chancellor (ASA) and Deputy Vice-Chancellor (RIL)

a) Ensure the implementation of this policy in the division.

2.4 Deans and Directors

a) Ensure the implementation of this policy in the schools.

b) Shall ensure that registries are set up to house, store, service, and maintain students' and staff records in the schools.

2.5 Head of Departments

a) Ensure the implementation of this policy at the departmental level.

2.6 Records Management Officer.

a) Ensure the implementation of this in the entire university.

b) Ensure that systems and procedures are developed, reviewed, sound and implementable

c) Develop a comprehensive annual record management program for the University

d) Develop, implement, and audit systems and procedures for management of records.

e) Train/sensitize all members of staff on relevant record-keeping systems.

f) Initiate the disposal of records in line with laid down procedures.

g) Prepare annual budget for records management activities and operations.

h) Ensure the implementation of the records retention and disposal schedule.

i) Ensure that employees create and maintain complete and accurate records of their official transactions and activities.

j) Ensure early identification of vital records and their preservation.

k) Ensure that the records center/archives are operational and well maintained.

2.7 The rest of the staff

All university staff shall adhere to the contents of this policy.

They shall ensure that:

a) Records in their possession are secure and accessible

b) The records they create and receive are properly captured and filed per laid down procedures.

c) They do not alter, destroy, misplace, or render unusable any official document, record, or file that is intended to be maintained as an official record.

3.0 POLICY IMPLEMENTATION

3.1 Records Management Systems and Procedures

3.1.1 Systems and Procedures

The University shall design systems (file plans) and procedures to ensure that accurate and reliable records are created and maintained. The systems and procedures shall cover mail and document management, file management, records use and maintenance and storage of records, records disposal, archives administration, and digitization.

3.1.2 Mail Management

a) Management of mail shall be streamlined to support the University's business transactions. Creation, receipt, registration, distribution, storage, and dispatch of all incoming and outgoing mail shall be coordinated from designated records management offices (registries).

b) All mail from external sources, including the post office shall be received in the Central Records Office for ease of distribution

c) Once mail is received in the Central Records Office, such mail shall be stamped and directed to the school or department to which it is addressed for processing before action is taken (received, stamped, recorded, indexed, and filed)

d) Electronic mail – E-mail shall be official if created or received through the University portal

e) Official e-mail shall be controlled and stored through a system put in place and where applicable, shall be downloaded and processed in the same way as manual mail .

3.1.3 File Management

a) Files shall be opened, used, and closed as documented in the Procedure for Control of Records (University QMS)

b) Movement of files shall be controlled either manually by use of registers or through a records management information system

c) Where applicable, the registry procedure manual issued by the Government for use in the public sector shall be applied

d) Official files shall be maintained in designated records units – Central Records Office, Students Registry, Registries in Deans/Directors offices, and offices of heads of departments.

3.1.4 Staff files

a) A staff who joins the University as an employee will have a file that shall bear his/her full name, designation, and Personal File number.

b) The staff must submit dully filled mandatory documents and forms as provided for by the Department of Human Resources (HR).

c) Copy of the job advertisement, application letter from the employee, invitation for interviews, minutes of the Appointment Committee, any other testimonials received in HR before engagement, and copy of the appointment letter shall be used to open the file at the HR Department.

d) In the event of resignation and re-employment, the staff will be assigned the same PF No. and his/her file reactivated.

3.1.5 Students' files

a) A student who joins the University for any course will have a file which shall bear his/her full name and admission number. The student must submit dully filled forms (3 copies) as provided on the university website.

b) Original documents shall be used to open the file at the Central Students' Registry, 1st copy shall be used to open the file at the School/Faculty and the 2nd copy shall be for the student.

c) Students' files shall be maintained and serviced in the Central Students Registry (main file) and at the office of the Dean- at the school level.

3.1.6 Document Management

a) Documents from within and from outside shall be controlled in the manner provided for in the Procedure for Control of Documents (See QMS)

b) Where applicable, the registry procedure manual issued by the Government for use in the public sector shall be applied

3.1.7 Official Records:

a) All records created or received by various offices/departments in the course of official transactions are deemed to be University records.

b) The entire workforce of the University shall be responsible and accountable for official records in their possession.

c) On vacation of the office, officers shall hand over all official records (files & documents) in their possession to the immediate supervisor or head of registry.

4.0 RECORDS USE AND DISPOSAL

a) Records of the University shall be used and disposed in strict compliance with the relevant government laws and regulations
b) University records shall be used for the purposes for which they were intended
c) Users of the university records shall include authorized University employees and other persons authorized in writing by University Management.
d) The University shall, in providing access to information, fully comply with Article 35. (1) (access to information) of the Constitution of Kenya 2010, Access to Information Act, 2016, the Data Protection Act, 2019, and any other relevant law.

4.1 Records Maintenance/Control

Records shall be maintained and controlled to ensure availability and suitability for use, where and when needed, and adequate storage and protection to enhance accuracy, authenticity, and access. To achieve these, the University shall: -

a) Review from time to time the Procedure for Control of Documents
b) Review from time to time the Procedure for Control of Records
c) Implement the relevant government records management procedure manuals and circulars
d) Review from time to time filing classification and indexing schemes for administrative records
e) Procure for use, standardized file folders bearing the logo and name of the university.
f) Prepare and enforce sound records retention and disposal schedule
g) Encourage use of technology in the management of records in all working processes including digitization.
h) Provide fire proof records storage cabinets and safes to deter saboteurs

4.2 Housing of Records

As part of a maintenance program for records, the University Management shall ensure that:

a) Current records are maintained and stored in appropriate designated records units- registries
b) Departmental records storage rooms are made available for the storage of semi-current records
c) A records center/archives is established, equipped, and staffed
d) Closed records shall be transferred from records storage rooms to the University records center/archives
e) Modern equipment for storage of current and closed records shall be procured

4.3 Records Disposal

a) The process of records disposal shall be initiated at the departmental level by the head of the departmental within a week after the completion of the appraisal exercise
b) Records shall be disposed of per the requirement of the relevant laws of Kenya.

4.4 Semi-current Records

a) Semi-current records shall be transferred from registries to designated storage rooms or records centers/archives.

4.5 Closed Records

a) Records that are no longer needed by the creating office for any administrative purpose

4.6 Valuable Records

a) Valuable records for preservation shall be processed, serviced, and maintained in the archives unit.

b) The University may keep backup copies of valuable records in electronic format in any other place within the University as may be approved by the University Top Management or at the Kenya National Archives

4.7 Destruction of Valueless Records

a) The process of records destruction shall be carried out in compliance with the relevant laws of Kenya and the records retention and disposal schedule of the University.
b) The heads of departments, in liaison with the records management officer, will initiate the process. The Vice-Chancellor, in compliance with Cap 19 of the laws of Kenya, shall approve in writing, the commencement of communication on records disposal between the University and the office of the Director, Kenya National Archives and Documentation Service.
c) Valueless records shall be destroyed through shredding, burning, pulping, or incineration. If the same records destroyed are also domiciled on an e-platform, the same shall be deleted.

5.0 ELECTRONIC RECORDS

Electronic records generated or received by various officers/offices within the University in the course of official business are official records of the University. As records of the University, electronic records, like records in other formats, are subject to statutory and regulatory requirements. To maintain the integrity, accuracy, and authenticity of electronic records, officers shall ensure that:

a) Electronic records are managed effectively as part of a comprehensive records management program.
b) Electronic records are maintained in reliable recordkeeping systems.
c) Maintenance and provision of authorized access to electronic records shall be a shared responsibility between the records' creators and the ICT department.

d) Electronic records which may be required in the future as evidence shall comply with metadata requirements, which should include content, context, and structure.

e) Practical steps shall be taken for the long-term preservation (digitization) of electronic records given technological obsolescence.

f) The sharing of electronic data shall be done as per the Data Protection Act, 2019.

5.1 Electronic Mail

Electronic mail and communications facilities provided by the University are intended for teaching, learning, research, outreach, and administrative purposes. Electronic mail may be used for official communications within appropriate limits.

Only Machakos University's official domain email accounts shall be used for official communication.

5.1.1 Appropriate Use and Responsibility of Users

Users shall explicitly recognize their responsibility for the content, dissemination, and management of the messages they send. This responsibility means ensuring that messages:

a) Are courteous;

b) Are consistent with University policies;

c) Protect others' right to privacy and confidentiality;

d) Do not contain obscene, offensive, or slanderous material;

e) Are not used for purposes that conflict with the University's interests;

f) Do not unnecessarily or frivolously overload the email system (e.g. spam and junk mail);

g) Do not carry harmful content, such as Viruses

h) Are not for commercial purposes

i) It shall be the responsibility of the author/creator of any document to ensure confidentiality and privacy of the data therein.

5.1.2 Confidentiality and Security

a) Electronic mail is inherently NOT SECURE.

b) It is recommended that personal confidential materials are not stored on or sent through the University's ICT infrastructure.

d) Users must ensure the integrity of their password and abide by University guidelines on passwords.

e) Sensitive confidential material shall NOT be sent through electronic mail unless it is encrypted.

f) Confidential information shall be redirected only where there is a need and with the permission of the originator, where possible.

g) Users shall be aware that a message is not deleted from the system until all recipients of the message and any forwarded or attached copies have deleted their copies

h) Electronic mail messages can be forged in the same way as faxes and memoranda. If a
the message is suspect, users shall verify authenticity with the ICTC.

6.0 RECORDS CENTER/ARCHIVES UNITS

The University shall establish a records center/archives to keep and preserve closed records. This shall be a building/room identified for the establishment of a records center/archives. The building/room shall have two sections – records center and archives sections.

6.1 Records Center

a) This unit shall be used for storage and servicing of all closed records from various departments in the university

b) Once records are closed and are no longer required for daily activities, such records shall be listed and transferred to the records center by the creating unit. The latter shall prepare three copies of the said records. The original copy shall be retained by the creating unit, the second copy shall be submitted to the records center and the third copy shall be submitted to the office of the Registry Head.

c) The records shall be retained in the records center section as long as they remain semi-current. Once they become non-current, the records shall be appraised to identify records worthy of transfer to the archive's unit.

6.2 Archives

a) This unit shall be used for housing, storage, servicing, and maintenance of vital records of the university- Original files and documents.
b) A records transfer list shall be prepared for records transferred to the archives unit. Once transferred, the said records shall be accessioned, processed, boxed, and shelved
c) The archives shall take practical steps to house and preserve selected records with enduring value for purposes of research, reference, cultural, informational, historical, and posterity.
d) The University will put into place, necessary initiatives to ensure that archival documents are digitized and stored on a reliable system/platform.

6.2.1 Access to archival materials

a) Access to archival materials shall be dependent on University regulations, existing Government regulations, the Constitution of Kenya 2010, and any other existing law.
b) Confidentiality of records shall be maintained and exclusive to the depositing office
c) Finding aids shall be prepared for ease of access to records transferred to the archives unit. Such finding aids shall be computerized to widen access to records and archives.

6.2.2 Resources

The University Management shall ensure that adequate resources (housing, human, equipment, tools, and technology) for use in the records center/archives are provided

7.0 SECURITY OF RECORDS

a) All practical steps shall be taken to ensure that University records are safe. All categories of

   University records shall be protected against:

   (a) Unauthorized access;

   (b) Unauthorized removal from their place of custody;

   (c) Leakage of information;

   (d) Mishandling;

   (e) Malicious damage;

   (f) Exposure to physical, biological, and chemical damage;

   (g) Technological obsolescence;

   (h) Alteration, manipulation loss and

   (i) Theft.

b) Records shall be kept in safe rooms/environments and inappropriate storage equipment that guarantees security.

c) The University shall develop a Disaster Management Plan for the protection of all records. The plan shall identify and give special attention to vital records that could be used for the continuity of business in the event of a disaster.

d) Once records are transferred to the archives unit, their security shall be enhanced through the use of modern preservation methods and technology – including digitization and microfilming, whichever is applicable and cost-effective

8.0POLICY MONITORING AND EVALUATION

a) Monitoring of this Policy shall be conducted using the Procedure for Control of Documents, and Procedure for Control of Records as provided in the University QMS.

b) Evaluation of this Policy shall be based on the application of effective and efficient records classification and indexing schemes, prompt access and retrieval of files and documents, sound storage of records, prompt records disposition, and effective use of archival resources.

9.0 Policy Review

This policy shall be reviewed every five (5) years or as the need arises.