

# **EGERTON UNIVERSITY**

## **RECORDS MANAGEMENT AND ARCHIVES POLICY**

**APRIL, 2012**

## TABLE OF CONTENTS

I.	0	
	Introduction.....	1
2.0	Vision, Mission and Core Values of Egerton University.....	1
3.0	Purpose and Objectives of the Policy.....	1
4.0	Definition of Terms.....	2
5.0	Guiding Principles.....	4
6.0	Scope.....	5
7.0	Legislative And Policy Reference Documents.....	5
8.0	The Statement of Authority.....	6
9.0	The Statement of Responsibility.....	6
10.0	Creation of The University Records.....	8
II.	0	
	Electronic Records and Mail.....	8
12.0	Types of Records.....	9
13.0	Selection Criteria.....	9
14.0	Transfer of Records to the RMAC.....	10
15.0	Records Retention & Disposal Schedules.....	10
16.0	Acquisition Guidelines.....	11
17.0	Records Storage and Security.....	11
18.0	Retrieval Systems.....	11
19.0	Access Guidelines and Authority.....	12
20.0	Guidelines for Using the Records.....	12
21.0	Disposal and Destruction of Records.....	13
22.0	Policy Enforcement.....	13
23.0	Policy Audit And Review.....	13

## ABBREVIATIONS

EU	- Egerton University
HOD	- Head of Department
RC	- Record Coordinators
RDS	- Records Disposal Schedule
RMAAC	- Records Management & Archives Advisory Committee
RMAC	- Records Management and Archives Centre
RMAP	- Records Management and Archives Policy
RMO	- Records Management Officer
RMP	- Records Management Procedures
RM	- Records Management
RRS	- Records Retention Schedule(s)
RS	- Record Schedules
URs	- University Records

# **EGERTON UNIVERSITY RECORDS MANAGEMENT AND ARCHIVES POLICY**

## **1.0 INTRODUCTION**

Egerton University has grown tremendously from its inception in 1939 as an Agricultural College to a modern institution of higher learning. The student population has grown from the first 3 students to over 12,000 currently. The staff population too has increased tremendously to 1855. In tandem with this growth, the University has acquired a substantial volume of records relating to its teaching, research, students, staff, finances and other related activities. The storage, retrieval and management of these information reserves are very critical if the University is to continue conducting its business efficiently. Egerton University recognizes the value of records management and archives in preserving the University's records and is committed to managing them. It is with this in mind that this policy has been developed to guide on the aspects of records management. Effective records management is vital to enable the professionalism that is expected in a world class university, as it provides evidence of business transactions of the University and promotes timely and quick access to information required to make decisions thereby enhancing the institutions performance.

## **2.0 VISION, MISSION AND CORE VALUES OF EGERTON UNIVERSITY**

### **2.1 Vision**

A world class University for the advancement of humanity

### **2.2 Mission**

To generate significant knowledge and offer exemplary education to contribute to and innovatively influence national and global development

### **2.3 Core Values**

The activities and decisions of Egerton University are guided by:

- a. Passion for excellence and devotion to duty
- b. Integrity, transparency and accountability
- c. Social fairness
- d. Professionalism

## **3.0 PURPOSE AND OBJECTIVES OF THE POLICY**

### **3.1 The Purpose of the Policy**

The purpose of Egerton University Records Management and Archives Policy is to provide general principles, a guidelines and a framework that ensures responsible management and retrieval of University records in all formats as valuable information resources and assets. The Policy will ensure that all University Departments take responsibility for proper

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management of University records to ensure compliance with legal and financial requirements that satisfy the University administrative needs, and identify and preserve any records appraised and deemed valuable. The policy will also enhance the process of retirement of records of enduring value to the archives repository.

### **3.2 Objectives of the Policy**

- 3.2.1 To give guidance on how university records should be appraised and advise on the management, care, preservation, and custody of the records.
- 3.2.2 To define the obligations of all stakeholders involved in creation, use and management of university records.
- 3.2.3 To define the various categories of records found in the university and their specific retention and disposal schedules.
- 3.2.4 To guide on how and when the university records should be transferred from the office of origin to the RMAC.
- 3.2.5 To regulate the conditions under which authorized persons may use the facilities provided by the RMAC.
- 3.2.6 To guide on how obsolete university records should be disposed or destroyed.

## **4.0 DEFINITION OF TERMS**

### **4.1 Active Records**

University records that are currently in frequent use in the office/department which created them. These remain under the custody, responsibility and control of the office/department of origin.

### **4.2 Appraisal**

The process of evaluating a record to determine its value for purposes of either preservation of valuable records or destruction of valueless records.

### **4.3 Archival Records**

These are University records of enduring historical or permanent value. Custody, responsibility and control of such records shall be with the Records Management and Archives Centre.

### **4.4 Ephemeral Records**

These are records whose value lasts for only a short time. Such records are designated for eventual disposal or destruction as will be specified under approved records retention and disposal schedules to be specified section 14 of this policy.

#### **4.5 General Records Retention and Disposal Schedules**

These are the maximum time periods governing the retention of University Records that may be encountered by all administrative offices across the University.

#### **4.6 In-active Records**

These are University records that are no longer in active use. These should be appraised and if of no value destroyed, otherwise be transferred to the Archives & Records Centre for the period stipulated in the Records Retention Schedules until their eventual destruction, or permanent storage.

#### **4.7 Office of Origin (also known as Provenance)**

The office in which a record was created or received.

#### **4.8 Office-Specific Records Retention Schedules**

These are schedules that apply only to a particular office or department.

#### **4.9 Record**

A record is a permanent account, especially in a document or on computer of facts or events. For the purpose of this policy a record may be defined as any recorded information in any form. This may be in the form of a printed document, map, plan, drawing, microfilm, photograph, video, audio tape, films, or electronic mail. Records provide the essential evidence that a particular action or transaction took place.

#### **4.10 Records Disposal**

This is a systematic way of destroying inactive and valueless records.

#### **4.11 Records Management**

This is the systematic control of all records from their creation to receipt through processing, retrieval, distribution and use to their ultimate preservation and disposal.

#### **4.12 Records Coordinator**

This is an officer appointed or designated by an office or department to act as its liaison with the University Records Management Archives Centre

#### **4.13 Retention Period**

Duration of time records are to be retained by a department or office before being destroyed or transferred to the archives.

#### **4.14 Retention and Disposal Schedule**

A systematic listing of records created by a department, which plans the life of those records from the time of their creation, use, maintenance to disposal.

#### **4.15 Semi-active Records**

These are records used less frequently. Ownership and control remains with the office/department of origin.

#### **4.16 University Archives and Records Management Centre**

This shall be the centralized administrative department or section responsible for identifying, collecting, managing and preserving the URs.

#### **4.17 University Records**

These are documents, data or recorded information in all media and formats created, received and maintained as evidence and information of University activities.

#### **4.18 Vital Records**

These are records so essential to the University operations that their loss would seriously impair or disrupt the business of the University. Vital records must be secured safely and permanently.

### **5.0 GUIDING PRINCIPLES**

Egerton University Records Management and Archives Policy shall be based on the following guiding principles:

- 5.1 All URs regardless of their format or location are the property of the University.
- 5.2 Records in all formats created and received as evidence of University activities will be captured as records and maintained in all processes and systems.
- 5.3 All URs must be maintained for specific purposes and information contained in them must meet those purposes.
- 5.4 The University Records Management and Archives Policy, program and practices will be based on current legislative requirements, audit rules, professional standards and best practices.
- 5.5 The access and appropriate use of the records will be guided by this University Records Management and Archives Policy and procedures.
- 5.6 All University records will be handled with appropriate care so that they remain authentic, reliable, secure and confidential.
- 5.7 University Records shall be preserved in secure and reliable record keeping systems to prevent unauthorized access, alteration, damage or removal.



## 6.0 SCOPE

This policy applies to;

- 6.1 All the records created or received in the course of carrying out all the administrative work of the University and all its transactions and business activities.
- 6.2 All the University administration staff and members of faculties who may possess University records relating to administrative duties.
- 6.3 The creation, receipt, use, handling, maintenance, storage and disposition of all records.
- 6.4 Records in all formats including but not limited to print, electronic, photographs, film, microfilms, microfiche, audio and video-tapes documents and files.

## 7.0 LEGISLATIVE AND POLICY REFERENCE DOCUMENTS

In coming up with this policy: guidance came from various government documents, legislation and regulations. Likewise, in implementing the policy, reference shall be made to the same sources as may be applicable. These include;

- 7.1 Records Management Procedures Manual for the Public Service; May, 2010
- 7.2 A Strategy for the Improvement of Record Management in Public Service, May, 2011
- 7.3 The Public Archives and Documentation Service Act Cap 19.
- 7.4 Government Financial Regulation and Procedures Chapter 23
- 7.5 Ministry of State for Public Service (DPM) circular on retention and disposal of Personnel Records.
- 7.6 The Public Procurement and Disposal Act 2005 and the Public Procurement and Disposal regulations, 2006.
- 7.7 Egerton University Intellectual Property Rights Policy, of April 2010.
- 7.8 Egerton University Act 1987 Cap 214 Laws of Kenya
- 7.9 Archives Circular No.2 of 12<sup>th</sup> January 1965
- 7.10 Official Secret Act (1979) Revised 2009
- 7.11 National Archives Guidelines
- 7.12 Government Circulars
- 7.13 The Exchequer and Audit Act
- 7.14 Records Disposal Act, Cap 14
- 7.15 The Constitution of Kenya 2010, especially chapter 4.

### **9.2.2 Archives Section Functions**

The Archives section shall be run by an Archivist. The broad functions of the Archives Section shall among others include the following:

- a. Processing of Archival documents.
- b. Housing, control and preservation of all University Archives.
- c. Implementation of access rules and regulations of the University Archives.
- d. Retrieval and dissemination of information in the University Archives.
- e. Reference services.

### **9.3 Records Management and Archives Advisory Committee (RMAAC)**

The RMAAC shall;

- a. Oversee and advise the head of the RMAC on various aspects of Records Management and Archives including the policy and procedures.
- b. Shall authorize hold orders or exceptions to RRS.
- c. Shall approve the necessary RMP and guidelines.
- d. Any other matter related to archival records.

### **9.4 The Head of the University Records Management and Archives Centre**

Together with other staff working with him/her, the head of the RMAC shall be:

- a. Responsible for the day to day running of the RMAC.
- b. Review the general and office-specific RRSs and RMP accordingly.
- c. Offer expert guidance on management of University records.
- d. Identify, collect and preserve URs according to this policy and procedures.
- e. Prevent destruction of archival records by promoting quality RM practices throughout the University.
- f. Respect the confidentiality of records to which privileged access is given.
- g. Initiate the necessary training, support and advise to the relevant University staff and RC so that procedures and controls are understood and applied.
- h. Maintain proper documentation of all records in the RMAC.
- i. Ensure all records are easily retrievable.

### **9.5 Heads of Departments and Section Heads**

All HODs shall appoint a departmental records coordinators whose work will include;

- a. Work with the RMO to ensure efficient and economic control of University records.
- b. Be responsible for implementing and maintaining sound record keeping practices within their departments/sections.

## **8.0 STATEMENT OF AUTHORITY**

- 8.1 The Vice Chancellor will appoint the Archivist to provide the archival, records management and preservation expertise to the University.
- 8.2 The Vice Chancellor will also appoint a University Records Management and Archives Advisory Committee (RMAAC). The Committee shall consist of the following University officers among others.
  - a. The University Librarian
  - b. The Archivist
  - c. The Legal Officer
  - d. The Chief Internal Auditor
  - e. The Information and Communication Technology Manager

## **9.0 THE STATEMENT OF RESPONSIBILITY**

### **9.1 The Vice Chancellor**

The VC will;

- a. Ensure that the University establishes the RMAC and provide the necessary, financial and physical support.
- b. Have the ultimate responsibility to ensure that the University complies with the legislative and professional standards.
- c. Facilitate approval of the University Records Management and Archives Policy by the University Senate and Council.

### **9.2 Records Management and Archives Centre (RMAC)**

The University shall establish the RMAC which shall be responsible for records management activities in the University including planning and implementation of manual or automated records management systems. The centre shall also develop a University Records Disaster Management Programme. It shall consist of two sections or units namely the Records Management Section and the Archives Section whose functions are as follows:

#### **9.2.1 Records Management Section Functions**

The Records Management section shall be run by a Records Management Officer. The broad functions of the Records Management Section shall among others include the following:

- a. Develop a comprehensive records management programme for the University;
- b. Implement policies and procedures of administering the records management programme.
- c. Develop, implement and audit systems and procedures for management of records;
- d. Prepare regularly, maintain and review the filing and classification schemes;
- e. Prepare records retention and disposal schedules;

### **9.2.2 Archives Section Functions**

The Archives section shall be run by an Archivist. The broad functions of the Archives Section shall among others include the following:

- a. Processing of Archival documents.
- b. Housing, control and preservation of all University Archives.
- c. Implementation of access rules and regulations of the University Archives.
- d. Retrieval and dissemination of information in the University Archives.
- e. Reference services.

### **9.3 Records Management and Archives Advisory Committee (RMAAC)**

The RMAAC shall;

- a. Oversee and advise the head of the RMAC on various aspects of Records Management and Archives including the policy and procedures.
- b. Shall authorize hold orders or exceptions to RRS.
- c. Shall approve the necessary RMP and guidelines.
- d. Any other matter related to archival records.

### **9.4 The Head of the University Records Management and Archives Centre**

Together with other staff working with him/her, the head of the RMAC shall be:

- a. Responsible for the day to day running of the RMAC.
- b. Review the general and office-specific RRSs and RMP accordingly.
- c. Offer expert guidance on management of University records.
- d. Identify, collect and preserve URs according to this policy and procedures.
- e. Prevent destruction of archival records by promoting quality RM practices throughout the University.
- f. Respect the confidentiality of records to which privileged access is given.
- g. Initiate the necessary training, support and advise to the relevant University staff and RC so that procedures and controls are understood and applied.
- h. Maintain proper documentation of all records in the RMAC.
- i. Ensure all records are easily retrievable.

### **9.5 Heads of Departments and Section Heads**

All HODs shall appoint a departmental records coordinators whose work will include;

- a. Work with the RMO to ensure efficient and economic control of University records.
- b. Be responsible for implementing and maintaining sound record keeping practices within their departments/sections.

- c. Act as liaison officer between his/her office/department and the University Records Management and Archives Centre.
- d. Shall be responsible for the control of records created/received while carrying out specific University functions in their departments.
- e. Ensure that the RMAP and RS are followed and that the disposal or transfer of records are authorized and documented accordingly
- f. Together with the RMO, they will regularly survey, inventorize and appraise office specific records to determine retention periods.

#### **9.6 University Staff**

All University staffs charged with various duties of the University are responsible and accountable for creating and keeping records that accurately record the functions, activities, transactions and decisions of the University.

### **10.0 CREATION OF THE UNIVERSITY RECORDS**

As stated in section 9.6 of this policy, the University staffs are required to preserve relevant and accurate records which document the University business activities and transactions they participate in. These may be in print or electronic format. The UR should be accurate, reliable and authentic enough to;

- a. Facilitate action by employees, at any level and by their successors.
- b. Facilitate proper scrutiny of the conduct of University business by anyone authorized to undertake such scrutiny.
- c. Protect the financial, legal and other rights of the University, its clients and any other persons affected by its actions and decisions.

### **11.0 ELECTRONIC RECORDS AND MAIL**

In appreciating the fact that a lot of correspondence currently is made through electronic mail, its important to ensure that such records are captured and retained for as long as they are needed. Since communication carried out on personal emails may not be recorded and can neither be accessed nor retrieved as and when it is required, all University Officers should be encouraged to do all official communication through designated University generated email e.g. [librarian\(g\).egerton.ac.ke](mailto:librarian(g).egerton.ac.ke). In preserving electronic messages, the following specific requirements are mandatory:

- a. The e-mail message must include transmission data, the message itself and the sender, the recipient(s) and the date and time the message was sent and/or received; and
- b. The distribution list of all recipients must be kept for as long as the message is retained.

- a. Authenticity**  
Records must be credible and should be dated and signed by the creator.
- b. Accuracy**  
Records must accurately reflect the transactions that they document.
- c. Completeness**  
Records must be sufficient in content, context and structure to reconstruct the relevant activities and transactions.
- d. Comprehensiveness**  
Records must document the complete range of the organizations business.

#### **14.0 TRANSFER OF RECORDS TO THE RMAC**

- a. The RCs shall identify records they intend to transfer to the RMAC having classified them as general, confidential, secret, top secret and contact the RMO.
- b. The RMO in consultation with the RC shall appraise all records in question.
- c. Paper Records approved for transfer shall be packed in standard archive boxes with lists of the contents.
- d. Records transferred to the RMAC shall be catalogued and accessioned according to standards approved by the RMAAC.
- e. Electronic records shall be transferred by using optical disc, flash disk or email depending on size, format and content.
- f. Archive materials generated and owned by individuals or other organizations may be transferred to the RMAC under a signed agreement. Egerton University RMAC shall only accept such materials as gifts. Materials will not be purchased.

#### **15.0 RECORDS RETENTION AND DISPOSAL SCHEDULES**

Records retention and disposal schedules shall be developed and approved by the RMAAC and Senate before they are implemented. These will facilitate and guide preservation or destruction of records. In developing the records retention and disposal schedule, the RMO shall consider the following factors;

- a. Legal value;
- b. Administrative value
- c. Fiscal value;
- d. Technical value;
- e. Evidential value;
- f. Informational value;
- g. Historical value; and
- h. Functions of the agency or organization.

### 15.1 Records Retention Schedules (RRS)

- a. General records retention and schedules to address records common to all departments shall be drawn up and subjected to revision every two years. The RRSs shall set out time lines on what length of time records specified therein shall be retained at the departmental record room prior to transfer to the RMAC or alternatively eventual destruction.
- b. On the other hand, the office specific retention schedules shall be developed to cater for records relating to the specific functions of the departments where they were created. They shall set out time lines on what length of time specific records are retained before their transfer to the RMAC or destruction.

**15.2** Records Disposal Schedules shall determine the disposal actions to be taken once a record is no longer needed for the conduct of current or future business.

### 16.0 ACQUISITION GUIDELINES

Acquisition of Records by the RMAC shall be through;

- a. Regular transfer of records from creating Department/Office of origin.
- b. Donations by individuals or organizations under a signed agreement. The RMAC has the right to refuse any gift or donation.

All materials must come from a bonafide source and should have a demonstrable meaning.

### 17.0 RECORDS STORAGE AND SECURITY

- a. All University records shall be protected from deterioration, loss, unauthorized access, disclosure, removal and destruction by environmental factors.
- b. Records management staff must be aware of records in their system with their storage locations at any given time.
- c. Departmental RCs in consultation with their departmental heads shall identify vital records and have them secured, microfilmed and stored in secure offsite storage.
- d. All University Records shall be stored in secure and clean conditions that have low risk of damage from fire, water, dampness, mold, dust, dirt, insects and rodents.
- e. The storage room shall be well ventilated have the ideal stable temperature and humidity and not exposed to direct sunlight and heat.

### 18.0 RETRIEVAL SYSTEMS

In consultation with Records Management and Archives Centre

- a. Each University department shall have an effective system to retrieve information stored in the RMAC. Such systems include reference manual,

processing forms, finding aids and suitable modes of internal and external transfer guides.

- b. Each University department shall establish and maintain effective indexes, lists and registers to track records including the records classification system. Indexes may be alphabetic, numeric, alphanumeric and or chronological containing sufficient detail to ensure that the information in records can be availed as required.

## **19.0 ACCESS GUIDELINES AND AUTHORITY**

### **19.1 Access rules and regulations**

Access rules and regulations shall be effectively enforced to prevent unauthorized access and leakage to classified records and information.

- a. The URs will be made available to authorized staff and students of the University, and researchers.
- b. University Archives will be consulted in the reference room. All users are to conform to the search room rules.
- c. Access to fragile archives will be restricted.
- d. Authority to access records classified as confidential, secret, and top secret must be in line with current University and Government guidelines until such records are declassified or destroyed under existing procedures.
- e. Confidential records and records transferred with restricted access provisions shall only be accessed with written permission from the University Librarian who will in turn consult the HOD of office of origin in writing.

### **19.2 Classification of records**

- a. **Top Secret**  
Information and material, whose unauthorized disclosure would cause exceptionally, grave damage to the University.
- b. **Secret**  
Information and material, whose unauthorized disclosure would cause serious injury to the interests of the University.
- c. **Confidential:**  
Information and material, whose unauthorized disclosure would be prejudicial to the interests of the University,
- d. **Restricted:**  
Information and material, whose unauthorized disclosure would be undesirable in the interests of the University.

## **20.0 GUIDELINES FOR USING THE RECORDS**

In order to minimize the risk of damage to the records and archives collections so as to preserve them for future use the RMAC shall develop rules and regulations



to be adhered to by the users. These guidelines should be approved by the RMAAC before they are implemented.

## **21.0 DISPOSAL AND DESTRUCTION OF RECORDS**

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- a. The archival status of all records maintained at the RMAC shall be reviewed from time to time to assess their value. If no longer valuable, they shall be recommended for disposal. UR may only be disposed off or destroyed in accordance with the approved Retention and Disposal Schedules. URs approved and eligible for destruction must be destroyed under confidential conditions. The backup of the destroyed records must also be destroyed.
- b. Confidential paper records shall be destroyed by burning. Alternatively they may be shredded and then sold to established paper millers while ephemeral non confidential records shall be sold as waste.
- c. Records stored in magnetic media such as floppy disk must be destroyed by reformatting at least once because deleting alone is not sufficient. Records held on optical media such as DVDs will be destroyed by cutting, or crushing.

## **22.0 POLICY ENFORCEMENT**

This Policy shall come into force immediately on the date the University Council approves it.

Consequently the procedures on handling electronic records such as e-mail and the drawing up of the requisite records retention and disposal schedules shall be undertaken soon after.

All Heads of Department shall be responsible for their departments' compliance with this policy.

## **23.0 POLICY AUDIT AND REVIEW**

To ensure compliance with legislative requirements, professional standards and best practices, the RMAP shall be subject to audit and review after every 5 years. The Retention and disposal schedules shall be reviewed after every 2 years. Annual records retention audits will, be conducted to ensure compliance with the policy. The 1<sup>st</sup> audit should be carried out in August .