



THE COUNTY GOVERNMENT OF KITUI
OFFICE OF THE GOVERNOR

RECORDS MANAGEMENT POLICY



SEPTEMBER, 2018

FOREWORD

The County Government of Kitui seeks to transform records management in the County Public Service in order to facilitate delivery of quality public service to residents and also create institutional memories for posterity. Our overriding goal in this is to maintain effective and efficient records management systems, procedures and practices that meet world best practices. We also purpose to develop sound records management systems that meet all statutory and regulatory standards and requirements as guided by Public Archives and Documentation Service Act, Cap 19, of 1965 (Revised 2003) of the Laws of Kenya.

Sound records keeping plays a pivotal role in providing documentary evidence of activities, operations and transactions undertaken in each department. Records that are properly managed remain valuable assets as a reference for sound governance. Records do constitute vital management tools in decision-making, policy formulation, implementation, monitoring, learning, evaluation and reporting.

This Records Management Policy intends to facilitate the realization and standardization of records keeping procedures and practices in all departments and entities in the County Government of Kitui. It therefore seeks to promote effective delivery of services through enhancing timely accessibility and sharing of information as well as providing a platform for central reference and uniformity in records management. Furthermore, it tasks County Government staff across all departments and entities with responsibilities in the execution of their mandates, in regards to records management.

This policy therefore lays a strategic roadmap towards the development and implementation of an efficient and effective County records management programme. It provides a standard framework for record creation, preservation, use, storage, protection, retention and disposal in line with existing legal and regulatory requirements.

Moving forward, a records procedures manual shall be developed to address specific issues as guided by this policy. Henceforth all accounting officers shall be required to ensure that staff in their respective departments and entities adopt and adhere to the guidelines outlined in the manual towards the implementation of this records policy.

Charity Kaluki Ngilu, EGH
GOVERNOR, KITUI COUNTY

ACKNOWLEDGEMENT

I wish to acknowledge the invaluable support and assistance received from H.E the Governor, Kitui County. The conceptualization and development of this policy was made possible by the selfless commitment of numerous staff who contributed expertise to see it come to fruition.

The County Government expresses profound gratitude to the members of the County Records Management taskforce, led by myself and comprising; Mr. Peter Mutemi, Ms. Hellen Mutuku, Ms Esther Mutemi, Mr. Benjamin Mukulo, Ms. Nancy Mulandi, Ms. Emily Ndungi, Ms. Emma Ngute, Rev. Carolynah Kalimati, Mr. Victor Mwangi, Mr. Alex Muthyoi, Mr. Francis Kea, Mr. Patrick Kiema, Mr. Francis Mulu, Mr. Job Muisyo, Mr. Joseph Musunza and Mr. Michael Olage.

It is through their enthusiasm, hard work and commitment that we credit the accomplishment of this mission. Special thanks also go to the County Executive Committee Members for their support during this exercise.

Finally, the development of this policy was made possible through the generous support of county departments and entities. As we embark on the journey of implementing the policy, we value the support, goodwill, and commitment of our stakeholders to ensure that the policy is actualized. I believe that they will continue to support the County Government in ensuring the policy's successful implementation. I am confident that we shall successfully deliver on it as a team.

Alex Kimanzi
Aq. COUNTY SECRETARY

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ABBREVIATIONS AND ACRONYMS

Cap	- Chapter
CoK	- Constitution of Kenya
CRMC	- County Records Management Committee
-E-Mail	- Electronic Mail
-E-Records	- Electronic Records
-HRD	- Human Resource Development
-ICT	- Information Communication Technology
-IRMS	- Integrated Records Management System
-ISO	- International Organization for Standardization
-KNADS	- Kenya National Archives and Documentation Service
-RMOs	- Record Management Officers
-RMU	- Record Management Unit
-RMUs	- Record Management Units
SWOT	-Strengths, Weaknesses, Opportunities and Threats

EXECUTIVE SUMMARY

This policy is an acknowledgement that the County Government of Kitui needs a safe and secure records management programme which conforms to international standards. The application of this Records Management Policy targets all records created, received, maintained, used and preserved by the County Government regardless of media and format in which they are stored. It applies to all official business activities performed by or on behalf of the County Government in whatever manner they are conducted.

The policy covers:

- (i) The legal, professional and administrative requirements that must be met for the records created and/or received to be considered as true records of the business activities they represent;
- (ii) The processes, systems and best practices required to ensure the creation, capture, integrity, security and usability of records;
- (iii) Staff responsibilities for records management at all levels and cadres across the County Government; and
- (iv) Provision for regular review of the Records Management Policy and its implementation.

CHAPTER ONE: INTRODUCTION

1.1 Background Information

Best records management practices entail streamlining processes to conform to international standards. The implementation of the Records Management Policy is informed by the need for the establishment of a records management programme which will progressively evolve towards achieving ISO standards certification.

The management of County Government records is governed by the Public Archives and Documentation Service Act, Cap 19, of 1965 (Revised 2003) of the Laws of Kenya. Records management in the County Government encompasses creation, maintenance use and disposal of circulars, reports, general correspondences, legislations among others throughout their life cycle. It is an integral part of duty performance which cuts across all functions with documentation and reporting as some of the most common workplace operational activities that provide feedback from the time of task assignment to completion. Records are key enablers in the conduct of various daily government business transactions in fulfilling devolved functions as per the fourth schedule of the constitution of Kenya (CoK) 2010.

The County Government came into being after the 2013 general elections and inherited a large volume of documents and records from the defunct local authorities and devolved Ministries. In addition, more records were created. In the absence of a functional records management programme, important records with institutional memory and value as heritage of the County faces eminent threat of loss as more and more records continue to be created. It is against this background that the County Government of Kitui deems it fit to establish a robust, safe and secure records management programme through the implementation of this policy.

1.2 Justification

Records are an integral part of duty performance and functionally, the County Government continues to create more records in addition to the large volumes inherited from the national Government through devolved functions. They have continuous use as evidence of official business conduct, basis for informing management decision making, accountability, transparency, operational continuity and legal evidence. Furthermore, records form the institutional memory of the county, and are part of the societal memory and documentary heritage. Therefore, the establishment of a robust framework for records management will enhance efficiency and effectiveness in County Government service delivery.

1.3 Policy goal

The broad policy goal is to provide a framework for systematic and standardized application of best records management procedures and practices in the administration of affairs of the County Government of Kitui.

1.3.1 Specific goals

- (i) Enhanced information access and sharing
- (ii) Improved efficiency and effectiveness in service delivery
- (iii) Developed, efficient and effective Records Management Programme
- (iv) Established standards and uniform records management practices
- (v) Increased clarity of roles and responsibilities among county government employees with regard to records management

CHAPTER TWO: SITUATIONAL AND SWOT ANALYSIS

2.1 Introduction

In a sample records inspection conducted to establish the status of records keeping in the County Government of Kitui, it was realized that the state of records was wanting and a lot needed to be done as there were no Registries/Records Units and structures, policy, and a procedures manual. It was also established that the capacity of records officers was inadequate, some offices were congested with non-current records, in some offices there was no file classification, records control tools were missing, accommodation and records storage equipment were insufficient and most file covers were of poor quality among others.

2.2 Specific challenges identified through the inspection

2.2.1 Manual Records Management

The records inspection concentrated on office records kept at the County Government Headquarters, Sub-county headquarters and Ward offices. It revealed that there was no uniformity of practices which could be explained by a lack of a County level policy defining standards and procedures for records management.

In all offices, it was found that proper records management was affected by; inadequate records storage equipment and space, lack of records control tools, inappropriate storage of records, difficult access, retrieval and traceability, poor condition of records storage equipment, inadequate records management unit working tools, vulnerability of records to disasters and risks, lack of skilled records management officers and a lack of co-ordination mechanism for records management.

2.2.2 Electronic Records Management

There is no electronic or digital system for the management of records but the County Government continues to procure computers and assigns to individual officers, departments and entities. The computers are used to create and store County

Government records. However, the lack of guidelines for management of electronic records, the sharing of computers and other electronic storage devices creates vulnerability of records to inappropriate filing systems and loss of device or disc crash.

2.3 The SWOT Analysis

In order to prioritize interventions, an analysis of the records management operational environment was conducted so as to identify, isolate and target the most critical actions with possible highest impact on challenges. The following is therefore the presentation of the outcome of Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis of the environment in which the County Government of Kitui Records Management Policy shall be implemented.

Table 1: A SWOT Analysis of County Records Management Environment

<p>STRENGTHS</p> <ul style="list-style-type: none"> • Political good will • Top Management Support • Experienced and trainable staff • Established work flow structures • Supportive development partners 	<p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • Availability of rapidly changing technology • Established World best practices in Records Management • Established ISO standards • Laws and Regulations on Records Management
<p>WEAKNESSES</p> <ul style="list-style-type: none"> • Lack of County policy, standards and procedures • Inadequate staff capacity on records management • Inadequate record storage facilities • Withholding of files by individual Officers • Lack of established file classification system • Uncoordinated circulation of files • Fear of the unknown • Low integrity 	<p>THREATS</p> <ul style="list-style-type: none"> • Disasters and Risks • Cyber-crime • Low integrity

2.4 Achievements

The implementation of this policy is the first deliberate step towards the establishment of a framework for safe and secure records management systems in the County Government of Kitui. It is therefore a major milestone in a step by step leap towards achieving ISO certification in records management in the County Government.

2.5 Challenges constraining records management

The situational and SWOT analyses reveal five Key challenges that constrain records management in the County Government.

Specifically, the challenges are;

- (i) Lack of County policy, procedures and control tools for records management
- (ii) Lack of coordination mechanism for records management
- (iii) Vulnerability of records to disasters and risks
- (iv) Lack of electronic records management system
- (v) Lack of records monitoring and evaluation structures

2.6 Policy Interventions

In view of the above challenges, there is need to establish a robust framework for records management in the County Government of Kitui that enhances best practices.

Therefore, the following policy interventions shall be implemented in order to entrench sound records management practices:

- (i) Design and implement a County records management programme;
- (ii) Facilitate development of policy, procedures, and adoption of records control tools;
- (iii) Enhance safety and security of records;
- (iv) Mainstream electronic or digital use in records management.

CHAPTER THREE: POLICY FRAMEWORK

3.1 Introduction

The situational and SWOT analysis of records management of the County Government of Kitui has revealed challenges and identified interventions which when implemented will have the intended impact of a sound records management programme. In order to do that, this section specifies the objectives and strategies that shall deliver the desired outcomes.

3.2 Policy Objective

This policy shall provide guidance in the management of records for the purpose of ensuring that accurate and reliable records are created, used, maintained, appraised and disposed as a continuum of care.

3.2.1 Specific objectives

- (i) To formulate policy and develop procedures
- (ii) To establish and operationalize a records management coordination structure
- (iii) To develop a safe and secure records management systems
- (iv) To establish an electronic/digital records Management system
- (v) To support monitoring and evaluation of records management

3.3 Policy Implementation Strategies

The County Government shall implement the policy interventions in Chapter 2, part 2.6 on records management through the following strategies;

3.3.1 Facilitate adoption of the policy and records procedures manual.

The County Secretary shall:

- (i) Upon approval by the cabinet, and assent by the Governor, circulate the policy to all county departments/entities; and
- (ii) Instruct commencement of implementation.

3.3.2 Design and implement County Records Management Programme

The County Secretary shall:

- (i) Establish a County Records Management Committee with members drawn from all departments;
- (ii) Ensure the establishment of the County Records Centre for the management of semi and non-current records;
- (iii) Ensure provision of budgetary allocation for records management activities in all departments.

The County Records Management Committee (CRMC)

The County Records Management Committee under 3.3.2 (i) shall spearhead records management activities specified in this policy. In performance of its advisory duties and responsibilities to the County Government on records management, the CRMC shall:

- (i) Advise the County Government on the implementation of the Records Management Policy;
- (ii) Develop a Records Procedures Manual.
- (iii) Design systems and procedures to ensure that accurate and reliable records are created and maintained.
- (iv) Articulate the records management issues to all departments;
- (v) Initiate reviews of the Records Management Policy;
- (vi) Coordinate the design and implementation of electronic records management system;

- (vii) Assist in the development and implementation of a records retention and disposal schedule;
- (viii) Assist in the preparation and implementation of a Disaster Management Plan for records.

The Chief Officers shall;

- (i) Have responsibility for overall coordination of the implementation of this policy and of records management in their departments.
- (ii) Ensure that all members of staff are trained on how to create, use and manage records.
- (iii) Consult with the Records Management officers in their departments when introducing new functions/activities/subjects to ensure that the correct procedures are followed when creating/opening files or records.
- (iv) Ensure that files marked for action by officers under them are released from their offices within two working days.
- (v) Ensure that files marked for action by officers are released from their custody when they are away from the office for more than one day.
- (vi) Ensure that there is budget allocated for records management activities within their respective departments.
- (vii) Ensure that officers under them adhere to the following;
 - (a) That the records they create or receive are properly captured and filed in accordance with laid down procedures.
 - (b) Regular consultations with RMOs concerning the proper management of records under their custody.
 - (c) Protect the authenticity and integrity of all official records by ensuring that no alteration, misplacement or any other form of destruction intended to render the records unusable takes place.
 - (d) Take full responsibility for any omission or commission in regard to record keeping, resulting in loss, misplacement, alteration and leakage of information to unauthorized persons or destruction of records.

The County Records Management Officer

The Head of Records Management in the County Government shall:

- (i) Develop a comprehensive records management programme;
- (ii) Be responsible for all RMUs;
- (iii) Develop and implement records management systems and procedures;
- (iv) Ensure appropriate planning for accommodation, storage, security, and preservation of records;
- (v) Acquaint all members of staff with the County record management systems;
- (vi) Develop in consultation with the County Head of Human Resource (HRD) a records management training programme for all record management officers;
- (vii) Prepare in consultation with the respective Chief Officers an annual budget for records management activities and operations;
- (viii) Conduct records inspections, surveys and appraisals on an ongoing basis;
- (ix) Ensure the review of records management systems and procedures;
- (x) Develop guidelines for records security and disaster preparedness in cooperation with the County Records Management Committee (CRMC);
- (xi) Ensure continuous development and modernization of records management through the adoption of modern technologies, systems and training of staff;
- (xii) Mainstream records management as a core component in the County Government functions and activities in consultation with other Heads of Departments/Sections by ensuring that:
 - (a) Records are generated with the correct indices and references;
 - (b) Security of the records in their custody through proper filing and organizing of records is maintained;
 - (c) Maintenance of relevant file movement control tools like; file movement registers, file movement cards, transfer slips and any other relevant tools is sound;

- (d) Liaison with the Head of ICT when developing training programmes on electronic records management systems for harmony; and
- (e) Sound administration of the Electronic Record Management System.

3.3.3 Enhance safety and security of records

The County Secretary shall ensure:

- (i) Provision of physical infrastructure for maintenance, storage and preservation of the County's records;
- (ii) Development of a County Records Centre for the storage of semi and non-current records;
- (iii) That the County Government develops a Records Retention and Disposal Schedule in consultation with the Director, KNADS and will be reviewed periodically to ensure it remains effective;

The County Chief Officers shall ensure;

- (i) Continued identification of vital records and their secure storage and preservation.
- (ii) The implementation of County Disaster Management Plan for records in their departments. The disaster management plan shall consider:
 - a) Vital records list, including their location and control tools;
 - b) Emergency response team contact information and chain of command;
 - c) Training plan and schedule for emergency response team;
 - d) Emergency contacts lists and back up resources; and
 - e) Procedures for review, update and testing of the plan.

- (iii) Records Storage and Maintenance encompasses the following:
 - (a) Provision of adequate and appropriate accommodation, space, equipment and supplies;
 - (b) Storage of records in designated areas using the right equipment;
 - (c) Enforcement of the use of control tools and procedures to track movement of files;
 - (d) Storage and maintenance of records in conformity with the existing file classification system;
 - (e) Electronic records shall either be retained online or offline;
 - (f) Records of short-term value should be disposed of at appropriate intervals in consultation with the Director, KNADS;
 - (g) That access to and use of records and information shall be provided within the existing regulatory framework, based on the 'need to know principle'.

The process of accessing information shall be flexible enough to respect freedom of information requirements (CoK 2010, section 35. 1 to 3) provided that the guidelines in the government security manual are not contravened.

The security classification of records shall be in the categories herein identified as secret, confidential and restricted. In addition, appropriate levels of access, restriction and control mechanisms for handling records shall be specified in the Records Management Procedures Manual.

The security status/restrictions on records shall be reviewed periodically to determine the need for additional control measures or for de-classification of information by the County Government. Users of records shall include the Creator, Action Officers, authorized researchers and interested members of the public among others, upon receiving authorization and in line with laid down regulations.

- (iv) Ensure that Records are disposed of in accordance with the existing laws and regulations, specifically:

- a) Records for preservation shall be transferred to the County Records Centre or KNADS periodically as per the Record Retention and Disposal Schedule. The process of records disposal will be initiated at the departmental level;
- b) Semi-current records shall be transferred from the Records Management Unit/ registry to designated storage areas or the records center in the County;
- c) County Departments may backup valuable records in electronic format offline with approval of the Chief Officer of the respective department in consultation with the County Head of Records Management and Head of ICT.

(v) That records are protected and secured against any probable exposures or threats capable of damaging, manipulating or altering their structure, context or contents in their storage environment. Such preservation will safeguard the integrity of records throughout their life cycle. All records will be kept and retained for the duration specified in the Records Retention and Disposal Schedule.

(vi) All records regardless of media/format created or received by individual County officers in their respective offices or in the transaction of official business are property of the County Government of Kitui and shall be branded as such. No County officer or employee has, by virtue of his or her position, any personal or property right to such records even though he or she has created, composed, written, drawn, compiled or received them.

All staff on deployment, transfer, posting or leaving the County Government shall surrender all or any record within their custody to their immediate supervisors.

(vii) All County Government records in their departments are protected against;

- a) Unauthorized access.
- b) Unauthorized removal from their place of custody
- c) Unauthorized disclosure and/or information leakage
- d) Mishandling
- e) Theft and fraud
- f) Malicious damage

- g) Exposure to physical, biological or chemical damage
 - h) Technological obsolescence
 - i) Hacking and industrial espionage
 - j) Alteration, manipulation and loss
 - k) Other agents of destruction
- (viii) That semi-active records will be transferred to the County records Centre to await appraisal. Non-active records are appraised to ascertain their value; those with continuing value shall be transferred to the National Archive while valueless records shall be destroyed upon approval by the Director, KNADS.
- (ix) Destruction of valueless records (both manual and electronic) of the County Government are destroyed in accordance with the existing laws and regulations including but not limited to;
- a) The Public Archives and Documentation Service Act (Cap 19)
 - b) The Public Procurement and Asset Disposal Act, 2015
 - c) The Public Finance Management Act, 2012
 - d) The County Government records retention and disposal schedule
 - e) Any other relevant statute of the Republic of Kenya

The destruction of valueless records shall be witnessed and certified by the County head of records management or his/her appointed representative in consultation with and approval by the County Secretary. Valueless records shall be destroyed through shredding, pulping, incineration or any other environment-friendly destruction method.

3.3.4 Mainstream electronic or digital use in records management

The County Secretary shall;

- (i) Oversee the design and implementation of electronic records management systems and other business information systems, by ensuring that adequate consultations between heads of Information Communication Technology (ICT) and Records Management take place in order to guarantee success and sustainability of such systems.

The County Chief Officers shall;

- Maintain electronic records in a reliable records keeping system that ensures that this category of records:
 - a) are authentic;
 - b) are not altered or tampered with;
 - c) are auditable;
 - d) utilize security measures to ensure their integrity;
 - e) Are managed in a continuum of care; and
 - f) Ensure that maintenance and provision of authorized access to electronic records shall be a shared responsibility between the records creators, users, managers, County Records Management Officer and the ICT department.
- Maintain authenticity, safety, accuracy and security of electronic records. Ensure that officers at all levels are provided with adequate skills and competencies in the management of electronic records so that:
 - a) The records are managed effectively as part of a comprehensive records management programme;
 - b) The records are maintained in an appropriate electronic form;
 - c) The records are maintained in an Integrated Record Management System (IRMS);
 - d) The records which may be required in future as evidence shall comply with metadata requirements; and
 - e) Practical strategies are taken for the long-term preservation of electronic records in view of technological advancement.
- Ensure that electronic records are maintained in a secure environment, security to the system and the records it holds in the following ways:
 - a) Strict adherence to defined access rights and user levels to prevent unauthorized access of documents;
 - b) Enforce controlled and restricted access to server rooms, computers in RMUs and external storage devices;

- c) Ensure storage of duplicates for digital media and system backups in offsite facilities in order to be retrieved in the event of a disaster;
 - d) Ensure that confidential material shall be redacted before it is shared or otherwise made available;
 - e) Ensure that all system administrators' passwords and operating procedure manuals shall be kept in secure offsite storage; and
 - f) Ensure that official email account passwords shall not be shared and shall be reset after every 3 months or as need arises.
- Electronic records in their respective departments are stored in media that is regularly assessed. The following steps shall be taken to ensure the continued accessibility of records kept in electronic formats;
 - a) Data shall be audited and assessed bi-annually or on need basis;
 - b) Electronic records shall be periodically converted to match new file types, particularly when a new information technology system requires that they be migrated forward in order to properly render the file;
 - c) Metadata is maintained during migration; and
 - d) Storage media is maintained in a manner and in an environment that promotes long-term preservation.

The County Government shall adhere to the media manufacturer's recommendations for specific environmental conditions in which the media should be stored.

The Head Information Communication Technology (ICT) Shall;

- (i) Liaise with the County Chief Officer in charge of Public Service and the Head of Records Management when developing and implementing electronic systems relating to the management of records.
- (ii) Liaise with the Head of Records Management to ensure that electronic records are stored in a secure site and format to guard against unauthorized access and manipulation.
- (iii) Be responsible for the maintenance and storage of electronic records.

- (iv) Ensure that all electronic records remain updated and accessible with technological change.
- (v) Ensure that backup for the electronic records form part of the overall backup management system and are stored in reliable devices.
- (vi) Liaise with the Head of Records Management in providing the necessary electronic management skills required by the users.
- (vii) Advise the management on the currently available records management systems.
- (viii) Ensure that all electronic systems capture appropriate systems generated metadata and audit trail data for all electronic records to ensure that authentic and reliable records are created.
- (ix) Ensure that back-ups are stored in a secure off-site environment.

3.3.5 Promote best practices in records management

The County Secretary shall;

- (i) Ensure that all Heads of Departments/Entities implement, monitor and evaluate compliance with this policy.

The County Chief Officers shall;

- (i) Ensure that all staff in their departments create and maintain complete and accurate records of their official activities and transactions.
- (ii) Ensure records management is made a target in performance contracting.

CHAPTER FOUR: LEGAL AND REGULATORY FRAMEWORK

4.1 Introduction

This Records Management Policy is a proactive response to the Constitution of Kenya, 2010 provisions and related legal frameworks in ensuring records integrity for timely information availability and access. The policy shall thus work within the following constitutional/legal provisions;

- (i) Article 35 (1) of the Constitution of Kenya which guarantees every citizen's right to access to government information.
- (ii) Public Archives and Documentation Service Act Cap 19, Laws of Kenya
- (iii) The County Governments Act, 2012
- (iv) Leadership and Integrity Act, 2012
- (v) Kenya Information and Communication Act Cap. 411A (Revised 2009)
- (vi) Ethics and Anti-Corruption Act, 2011.
- (vii) Public Officers Ethics Act, 2003.
- (viii) Public Procurement and Asset Disposal Act, 2015.
- (ix) Public Audit Act, 2003.
- (x) Public Finance Management Act, 2012.
- (xi) Government Financial Regulations and Procedures Chapter 23 Sec 3 – 5.
- (xii) Office of the President Circular Ref. No. OP/CAB. 1/48A dated 22nd March 2013 on the Management of Public Records in the Devolved Government System.
- (xiii) Ministry of State for Public Service, Personnel General Letter No. 1/2008(DPM.12/6A Volume 1(71) Dated 12 March, 2008.
- (xiv) Office of the President Circular Ref. No. OP/CAB.15/5A of 3rd June 2004 providing ICT security guidelines on use of information and communications technology in government offices
- (xv) Government of Kenya security Manual, 2005
- (xvi) ISO 15489 (2016); Information and Documentation – Records Management.

- (xvii) Records Management Procedures Manual 2010 for the Public Service issued by the Ministry of State for Public Service.
- (xviii) A Strategy for Improvement of Records Management in the Public Service 2011, issued by Ministry of State for Public Service.
- (xix) Kenya Vision 2030.
- (xx) County Integrated Development Plan (CIDP), 2018-2022.

CHAPTER FIVE: THE INSTITUTIONAL FRAMEWORK

5.1 Introduction

There are many departments and entities in the County executive discharging their devolved functions through documentation, reporting and general correspondence. This Policy lays a framework which shall formalize a link between the departments/entities for purposes of coordination in order to ensure records integrity through safe and secure systems.

The County Government of Kitui shall consequently initiate appropriate coordination mechanism for records management established formally and operationalized by documented operational procedures. This policy shall be operationalized by the County Records Management Procedures manual to be developed separately.

5.2 Policy Approval

- (i) This policy shall be tabled in the County Executive Committee seeking approval and adoption. The Kitui County Governor shall then assent to the approved policy.
- (ii) The office of the County secretary shall oversee the implementation of the policy upon approval.
- (iii) The Policy takes effect from the date of approval across the entire County Government.
- (iv) The Policy shall be operationalized by The Records Management Procedures manual.

5.3 Policy Implementation

The County Secretary shall have responsibility for the overall coordination of the implementation of this policy.

5.3.1 The County Secretary shall;

- (i) Issue this policy.
- (ii) Ensure that all accounting officers implement, monitor and evaluate compliance with this policy.

- (iii) Ensure provision of physical infrastructure for maintenance, storage and preservation of County Government records.
- (iv) Ensure provision of budgetary allocation for records management activities in all departments.
- (v) Establish a County Records Management Committee with members drawn from all departments/entities.
- (vi) Oversee the design and implementation of an electronic records management system and other business information systems by ensuring that adequate consultations take place in order to guarantee success and sustainability of such systems.
- (vii) Ensure the establishment of the County Records Centre for the management of semi and non-current records.

5.3.2 The Chief Officers:

Chief Officers in their respective County Departments have responsibility for overall coordination of the implementation of this policy and of records management and shall;

- (i) Ensure that all staff in their department create and maintain complete and accurate records of their official activities and transactions.
- (ii) Ensure continued identification of vital records and their secure storage and preservation.
- (iii) Ensure implementation of a Disaster Management Plan for records in the department.
- (iv) Ensure records management is made a target in performance contracting.

- (v) Ensure that all members of staff are trained on how to create, use and manage records.
- (vi) Consult with the Head of Records Management when introducing new functions/activities/subjects to ensure that the correct procedures are followed when creating/opening files or records.
- (vii) Ensure that files marked to officers for their attention are released from their offices within two working days.
- (viii) Ensure all files are released from the action officers' custody when they are away from the office for more than one day.
- (ix) Budget for records management activities within their respective departments.

5.3.3 County Records Management Committee (CRMC)

A Records Management Committee shall be established in the County Government to spearhead records management activities in tandem with this policy. Membership should be drawn from each of the Departments. The committee whose membership will be drawn from each of the departments/entities shall have the following specific responsibilities:

- (i) Advise the County Government on the implementation of the Records Management Policy;
- (ii) Articulate the records management issues to all departments;
- (iii) Initiate reviews of the Records Management Policy;
- (iv) Initiate the design and implementation of an electronic records management system;
- (v) Assist in the evaluation and implementation of the disposal of records in liaison with the records creating units;

- (vi) Assist in the preparation and implementation of a Disaster Management Plan for records;

5.3.4 Head of Records Management

The Head of Records Management in the County Government shall:

- (i) Develop a comprehensive records management programme for the County Government;
- (ii) Be responsible for all RMUs in the County Government;
- (iii) Initiate the development and implementation of records management systems and procedures in the County Government;
- (iv) Advise on appropriate planning for accommodation, storage, security, and preservation of records;
- (v) Acquaint all County Government staff with the records management systems;
- (vi) Develop in consultation with the County Head of Human Resource (HRD) a records management training program for all records management officers;
- (vii) Prepare in consultation with the respective Accounting Officers an annual budget for records management activities and operations in the County Government;
- (viii) Conduct records surveys and appraisal on an ongoing basis;
- (ix) Ensure the review of records management systems and procedures;
- (x) Develop guidelines for records security and disaster preparedness in cooperation with the County Records Management Committee (CRMC);
- (xi) Ensure continuous development and modernization of records management through adoption of modern technologies, systems and training of staff;

- (xii) Mainstream records as a core component in the County functions and activities in consultation with other heads of departments/entities;
- (xiii) Ensure that records are generated with the correct indices and references;
- (xiv) Ensure security of the records through proper filing and organization;
- (xv) Ensure maintenance of relevant file movement control tools e.g. file movement registers, file movement cards, transfer slips and any other relevant tools;
- (xvi) Liaise with the Head of ICT when developing training programs on the electronic records management system;
- (xvii) Administer the Electronic Records Management System;

5.3.5 The Head ICT shall;

- (i) Liaise with the County Secretary and the Head of Records Management when developing and implementing the electronic system relating to the management of records.
- (ii) Liaise with the Head of Records Management to ensure that electronic records are stored in a secure site and format to guard against unauthorized access and manipulation.
- (iii) Be responsible for the maintenance and storage of electronic records.
- (iv) Ensure that all electronic records remain updated and accessible with technological change.
- (v) Ensure that backup for the electronic records form part of the overall backup management system and are stored in reliable devices.
- (vi) Liaise with the Head of Records Management in providing the necessary electronic management skills required by the users.

- (vii) Advise on the currently available electronic records management systems.
- (viii) Ensure that all electronic systems capture appropriate systems-generated metadata and audit trail data for all electronic records to ensure that authentic and reliable records are created.
- (ix) Ensure that back-ups are stored in a secure off-site environment.

5.3.6 Other Public Officers

Records management is the responsibility of every member of staff in the County Government notwithstanding the assignment of roles and responsibilities to the above mentioned officers. Therefore, every officer shall be responsible for creating and maintaining adequate and complete records as may be necessary to fully document the County Government functions, activities, transactions, decisions and actions. They shall;

- (i) Ensure that the records they create or receive are properly captured and filed in accordance with laid down procedures.
- (ii) Ensure regular consultations with RMOs concerning the proper management of records under their custody.
- (iii) Protect the authenticity and integrity of all official records by ensuring that no alteration, misplacement or any other form of destruction intended to render the records unusable takes place.
- (iv) Take full responsibility for any omission or commission in regard to records keeping, resulting in loss, misplacement, alteration, leakage of information to unauthorized persons, or destruction of records.

CHAPTER SIX: RECORDS MANAGEMENT SYSTEMS AND PROCEDURES

6.1 Introduction

The County Government of Kitui shall design systems and procedures to ensure that accurate and reliable records are created and maintained. These systems and procedures shall cover the following areas:

6.2 Records Management Units (RMUs)/Registries

The county government shall adopt a decentralized system of managing its records whereby the records management activities shall be coordinated from any of the following RMUs/Registries as appropriate:

- a) Governor's office.
- b) County departments.
- c) Human Resource Management.
- d) County Public Service Board.
- e) Supply Chain Management.
- f) Sub county Administration.
- g) Other relevant entities within the county government.

The RMUs/Registries shall utilize systems, procedures and standards recommended by the County Head of Records Management Unit in consultation with the County Records Management Committee.

6.3 Records Use and Maintenance

Access and use of county records shall not be limited to county employees. Access and use of County records by other stakeholders shall be granted through written authorization from the County Secretary. Records shall be stored centrally at the departmental RMUs from where access by individual staff members shall be by authorization from the accounting officer.

Records shall have a controlled storage to enhance safety, timely availability and ease of accessibility. This shall entail: -

- (i) Establishment of RMU/registry for management of current records.
- (ii) Provision of adequate departmental records storage space.
- (iii) Establishment of electronic records management system.
- (iv) Equipping the RMUs with modern facilities for preservation of records.
- (v) Developing procedures for receiving and distribution of mail.
- (vi) Preparation and use of appropriate filing classification and indexing schemes.
- (vii) Adoption and implementation of records procedures.
- (viii) Development and use of a records retention and disposal schedule.
- (ix) Establishment of Records Centre in the county for housing and servicing of semi-current and non-current records.
- (x) Putting in place disaster risk management plans and a recovery programme.
- (xi) Mainstreaming use of ICT in records management.
- (xii) Instituting any other measures to enhance effective records keeping.

6.4 Creation and Capture

To execute its mandate, the County Government of Kitui generates different types of records. In order to facilitate and support its daily operations, all County Government departments/entities shall:

- (i) Create accurate, complete, reliable, authentic and usable records;
- (ii) Capture all new records using the County records management systems irrespective of the format;
- (iii) Ensure that records are captured in such a way that they shall not be altered;
- (iv) Ensure that records outline the content, context and structure during preparation and storage;
- (v) Evaluate records upon creation and receipt to determine their security status; and
- (vi) Manage records throughout their life cycle in a continuum of care.

6.5 Classification and Indexing

The County Government shall adopt the prescribed file classification system as per the functions or activities of the various departments/entities. Staff in consultation with RMOs shall index and reference all correspondence (both paper and electronic) in accordance with the approved file classification scheme(s) irrespective of the form in which they are created or stored.

6.6 Mail Management

A mail management system shall encompass procedures and practices for the following activities: receiving; sorting; opening; classifying; filing; distribution to action officers; control of movement; security; and dispatch.

Management of mails shall be streamlined to support the County Government operations. Receipt, registration, distribution, storage and dispatch of all incoming and outgoing mail shall be coordinated from designated Records Management Units/registries in all County departments/entities. Such mail shall be sorted, classified, indexed and filed in an appropriate way for ease of access and use.

Movement of files and documents shall be controlled either manually by use of registers or through the Integrated Records Management System (IRMS). Every RMU/Registry shall maintain separate registers for recording incoming and outgoing files and/or documents and the registers must be in the prescribed format.

6.6.1 Electronic Records

Any electronic records generated or received by County Government officers in the course of official business are public records hence, like records in other formats, they are subject to statutory and regulatory requirements.

(a) Electronic mail (e-mail)

E-mail messages are often used as communication substitutes for the telephone as well as to communicate substantive information previously committed to paper and transmitted by more traditional methods.

All official electronic mails shall be communicated through official email accounts. The electronic mails shall be backed up in the Integrated Records Management System (IRMS) and all incoming and outgoing e-mails printed out and forwarded to relevant Records Management Units/Registries for filing in the respective files.

All accounting officers have an obligation to make employees aware that e-mail messages, once created or received, must be secured, retained and destroyed according to the established county records management procedures.

Electronic records shall be maintained in a reliable records keeping system that ensures that they;

- (i) are authentic;
- (ii) are not altered or tampered with;
- (iii) are auditable;
- (iv) utilize security measures to ensure their integrity; and
- (v) are managed in a continuum of care.

Maintenance and provision of authorized access to electronic records shall be a shared responsibility between the records creators, users, managers, County Records Management Officers and the ICT department.

To maintain authenticity, safety, accuracy and security of electronic records, the County Government shall ensure that:

- (i) The records are managed effectively as part of a comprehensive records management programme;

- (ii) Employees at all levels are provided with adequate skills and competencies in the management of electronic records;
- (iii) The records are maintained in an appropriate electronic form;
- (iv) The records are maintained in the Integrated Records Management System (IRMS);
- (v) The records which may be required in future as evidence shall comply with metadata requirements; and
- (vi) Practical strategies are taken for the long-term preservation of electronic records in view of technological advancement.

The County Government shall ensure that electronic records in the respective departments/entities are maintained in a secure environment. Security to the system and the records it holds shall be maintained in the following ways:

- (i) There shall be defined access rights and user levels to prevent unauthorized access of records;
- (ii) Access to server rooms, computers in RMUs/Registries and external storage devices shall be controlled and restricted;
- (iii) Duplicates of digital media and system backups shall be stored in offsite facilities in order to be retrieved in the event of a disaster;
- (iv) Confidential material shall be redacted before it is shared or otherwise made available;
- (v) All system administrators' passwords and operating procedures manuals shall be kept in secure offsite storage; and
- (vi) Official e-mail account passwords shall not be shared and shall be reset after every 3 months or as need arises.

The County Government shall ensure electronic records in the respective departments/entities are stored in media that is regularly assessed. The following steps shall be taken to ensure the continued accessibility of records kept in electronic formats:

- (i) Data shall be audited and assessed bi-annually or on need basis;

- (ii) Electronic records shall be periodically converted to match new file types, particularly when a new information technology system requires that they be migrated forward in order to properly render the file;
- (iii) Metadata is maintained during migration;
- (iv) Storage media is maintained in a manner and in an environment that promotes long-term preservation. The County Government shall adhere to the media manufacturers' recommendations for specific environmental conditions in which the media should be stored.

6.7 Records Storage and Maintenance

Records storage and maintenance shall entail regulation of the environment in which records are stored and maintained to ensure that they are secure and remain unchanged. It shall also involve the establishment of user and access controls to ensure that records are only available to authorized persons.

The storage and maintenance of records in the County Government shall therefore encompass the following:

- (i) Provision of adequate and appropriate accommodation, space, equipment and supplies;
- (ii) Storage of records in designated areas using the right equipment;
- (iii) Enforcement of the use of control tools and procedures to track movement of files;
- (iv) Storage and maintenance of records in conformity with the existing file classification system;
- (v) Electronic records shall either be retained online or offline;
- (vi) Records of short-term value shall be disposed of at appropriate intervals in consultation with the Director, KNADS; and
- (vii) Development of a County Records Centre for the storage of semi and non-current records.

6.8 Access and Use

Access to records and information will not be limited but shall be provided within the existing regulatory framework, based on the 'need to know' principle. The process of accessing information shall be flexible enough to respect freedom of information requirements provided that the guidelines in the government security manual are not contravened.

The security classification of records shall be in the categories herein identified as top secret, secret, confidential and restricted. In addition, appropriate levels of access, restriction and control mechanisms for handling records shall be specified in the Records Management Procedures Manual.

The security status/restrictions on records shall be reviewed periodically to determine the need for additional control measures or for de-classification of information by the County Government. Users of records shall include creators, Action Officers, authorized researchers and interested members of the public among others upon receiving authorization and in line with laid down regulations.

6.9 Disposal of Records

Records disposal procedures work on the premise that all records cannot be retained indefinitely. The County Government records shall be disposed of in accordance with the existing laws and regulations. Semi-active records will be transferred to the County records centre to await appraisal. Non-active records shall be appraised to ascertain their value; those with continuing value shall be transferred to the National Archive while valueless records shall be destroyed upon approval by the Director, KNADS.

In this regard;

- (i) The County Government shall develop a Records Retention and Disposal Schedule in consultation with the Director, KNADS that shall be reviewed periodically to ensure it remains effective.

- (ii) Records for preservation shall be transferred to KNADS periodically as per the Record Retention and Disposal Schedule.
- (iii) The process of records disposal will be initiated at the departmental level.
- (iv) Semi-current records shall be transferred from the Records Management Unit/ registry to designated storage areas or the records centre in the County Government.
- (v) Vital records shall be identified for protection.
- (vi) County departments shall backup records with continuing value in electronic format offline with approval of the Accounting Officer of the respective department/entity.

6.9.1 Preservation of Records

The County Government shall ensure that records are protected and secured against any probable exposures or threats capable of damaging, manipulating or altering their structure, context or contents in their storage environment and location or origin. Such preservation shall safeguard the integrity of records throughout their life cycle. All records will be kept and retained for the duration specified in the Records Retention and Disposal Schedule.

6.9.2 Destruction of valueless records

Records (both manual and electronic) of the County Government shall be destroyed in accordance with the existing laws and regulations including but not limited to;

- (i) The Public Archives and Documentation Service Act (Cap 19).
- (ii) The Public Procurement and Asset Disposal Act, 2015.
- (iii) The Public Finance Management Act, 2012.
- (iv) The County Government records retention and disposal schedule.
- (v) Any other relevant statute of the Republic of Kenya.

Destruction of valueless records upon approval by KNADS, shall be witnessed and certified by the County Head of Records Management Unit or his/her appointed representative in consultation with the County Secretary. Valueless records shall be

destroyed through shredding, pulping, incineration or any other environmentally friendly destruction method.

6.10 Ownership of Records

All records, regardless of media/format, created or received by individual County Government Officers in their respective offices in the transaction of official business are the property of the County Government of Kitui and shall be branded as such. No County Government employee has, by virtue of his or her position, any personal or property rights to such records even though he or she has created, composed, written, drawn, compiled or received them.

All staff on deployment, transfer, posting or leaving the County Government shall surrender all official records within their custody to their immediate supervisors.

6.11 Security of Records

All County Government records shall be protected against;

- (i) Unauthorized access.
- (ii) Unauthorized removal from their place of custody
- (iii) Unauthorized disclosure and/or information leakage
- (iv) Mishandling
- (v) Theft and fraud
- (vi) Malicious damage
- (vii) Exposure to physical, biological or chemical damage
- (viii) Technological obsolescence
- (ix) Hacking and industrial espionage
- (x) Alteration, manipulation and loss
- (xi) Other agents of destruction

6.12 Disaster Management Plan

A County Government records disaster management plan, defining individual responsibilities for management of disasters against different forms of records, shall be

developed for all records. The plan shall identify and give special attention to vital records that could be used for continuity of business in the event of a disaster. Other key elements to be incorporated in the Disaster Management Plan include risk assessment and analysis, preparedness, prevention, response and recovery measures.

The disaster management plan shall consider;

- (i) Vital records list, including their location and control tools
- (ii) Emergency response team contact information and chain of command
- (iii) Training plan and schedule for emergency response team
- (iv) Emergency contacts lists and back up resources
- (v) Procedures for review, update and test of the plan

CHAPTER SEVEN: MONITORING AND EVALUATION FRAMEWORK

7.1 Introduction

The County Government of Kitui shall develop a Monitoring and Evaluation framework based on a participatory approach to monitor and evaluate the records management programme in order to track the implementation of this policy to ensure effective and efficient implementation based on indicators in table 2.

Table 2: Progress Indicators

Challenge	Policy Intervention	Activities to mitigate challenges	Objective	Outcome	Indicators
Lack of County policy, procedures, and records control tools	Facilitate development of policy , procedures, and adoption of records control tools	Policy Formulation, Development of records procedures manual and adoption of records control tools	To formulate policy and develop procedures	Policy and procedures Use of records control tools	No. of Policies No. of records procedure Manuals No. of records control tools
Lack of coordination mechanism for records management	Design and implementation of a County Records Management Programme	Form records management coordination committees Assign roles and responsibilities Establish County	To establish and operationalize records management coordination structure	A functional records management programme	No. of committees No. of County records centres No. of RMUs/registeries

Challenge	Policy Intervention	Activities to mitigate challenges	Objective	Outcome	Indicators
		<p>records centre</p> <p>Establish departmental RMUS/registries</p> <p>Equip RMUs/registries and staff</p> <p>Sensitize and train existing staff</p> <p>Hire qualified records management officers</p>			<p>No. of equipment</p> <p>No. of officers sensitized</p> <p>No. of officers trained</p> <p>No. of officers hired</p>
Vulnerability of records to disasters and risks	Enhance safety and security of records	<p>Provide adequate space for record keeping equipment</p> <p>Procure adequate records storage equipment</p> <p>Procure quality and appropriate</p>	To establish a safe and secure records management systems	Safe and secure records	<p>Records storage area in square metres</p> <p>No. and type of equipment</p> <p>No. and quality of assorted stationery</p>

Challenge	Policy Intervention	Activities to mitigate challenges	Objective	Outcome	Indicators
		stationery			
Lack of electronic records management system	Mainstream electronic or digital use in records management	Provision of an electronic records management system Sensitization and training of staff Provision of electronic gadgets and accessories	To establish an electronic/digital records Management system.	Established electronic records management system	No. of systems provided No. of sensitized and trained staff No. of electronic gadgets and accessories
Lack of Monitoring and evaluation structures	Promote best practices in records management	Monitor and evaluate compliance	To support monitoring and evaluation of records management	Functional records management practices	No. of monitoring visits No. of reports.

7.2 Policy Review

The policy shall be reviewed within a period of five (5) years unless otherwise directed. This will be done with a view to adjusting to emerging dynamics, incorporating lessons learned and up scaling success stories.

7.2.1 Procedure for Review of the Policy

The County Records Management Committee shall continuously monitor and annually evaluate the implementation with a view to forming a basis for review.

Annex I: Key Stakeholders in Records Management

Table 3: Stakeholder analysis matrix

Stakeholder	Function/ Role/ Responsibility	Competitive Advantage	Target	Assistance In Records Management
National Government	Formulate and enact national records management policy and facilitate necessary legislative/regulatory framework.	Availability of legal/regulatory instruments	Harmonized legal and regulatory framework.	Policy formulation and legislation
KNADS	Advise on Records management as per CAP 19.	Technical expertise	Improving records management systems	Advise on records management
County departments/ entities	Implementation of devolved functions	Technical expertise	Efficient and effective service delivery	Policy implementation
Other stakeholders	Seeking services and Complementary role	Access to information	Receiving quality services	Provision of necessary feedback for continuous improvement

Annex II: The Political, Economic, Social, Technological, Environmental and Legal (PESTEL) Analysis

Table 4: PESTEL Analysis

Factor of Change	Type of Change	Impact on Records Management	Mitigation Measures
Political	Creation of Counties and further administrative units (Sub-counties, Wards and villages)	<ul style="list-style-type: none"> • High volume of records created • Competition for resources; budget allocation and projects means increased need for records management • Pressure for provision of adequate proximate services means increasing need for information whose availability is based on records management 	<p>Establishment of Records Management Units</p> <p>Development of Records Management Policy and Procedures Manual</p> <p>Recruitment of records management officers</p>
Economic	Prudent management of the resources	<ul style="list-style-type: none"> • Timely accessibility and retrieval of records • Minimized duplication and wastage of county resources • High cost of paper due to limited availability of raw materials 	<ul style="list-style-type: none"> • Source information, package and manage records to inform decision making such as compliance with standards • Discourage/minimize overreliance on paper through digitalization of records.

Factor of Change	Type of Change	Impact on Records Management	Mitigation Measures
Social	Public awareness to their rights to access of information.	<ul style="list-style-type: none"> • Pressure on records management due to information demand • Increased need for information • More records become available creating need for more robust records management systems 	Modernize records management systems to enhance accessibility
Technological	Rapid change in technology	Ease of automation, communication and dissemination of information	Mainstream technology application in records management
Legal	Evidence based regulatory instruments	Availability of evidence for litigation purposes.	Develop, review and harmonize policy, legal frameworks and standards
Environmental	Climate change induced depreciation of records	<ul style="list-style-type: none"> • Destruction of records by floods, leaking roofs, fluctuating temperatures • Land degradation due to high demand of paper causing wanton felling of trees 	Mainstream technology in records management to reduce reliance on wood products some of which are poisonous

Annex III: Risk Analysis

Table 5: Risk Analysis

Nature Of Risk	Level of Impact	Mitigation Measure
Respiratory diseases	Medium	<ul style="list-style-type: none"> • Use of Personal Protective gear • Ensure clean working environment
Unauthorized access	High	<ul style="list-style-type: none"> • Security features such as; passwords, encryption, burglar proof structures.
Likelihood of fire outbreak	High	<ul style="list-style-type: none"> • Install fire fighting equipment and fire proof cabinets
Technological obsolescence	Medium	<ul style="list-style-type: none"> • Innovation • Migrate records to newer platforms
Mishandling and malicious damage to records	Medium	<ul style="list-style-type: none"> • Enforce compliance to regulations
Leakage of information	High	<ul style="list-style-type: none"> • Vet handlers of records • Restrict access
Damage to records by agents of destruction such as virus, pests, rodents, light, water and dust	High	<ul style="list-style-type: none"> • Install antivirus on all computers • Regular fumigation • Use of window shutters in records storage areas • Regular cleaning and dusting of records storage areas • Regular building inspections

Annex IV: Policy Formulation Task Force Members

Table 6: Members of records management taskforce

Name	Designation	Position	Department
Alex Kimanzi	Ag. County Secretary	Chairperson	Office of the Governor
Peter Mutemi	Director, Public Participation	Member	Public Service Management and Administration
Helen Mutuku	Deputy Director Human Resource Management	Member	Office of the Governor
Benjamin Mukulo	Deputy Director, Environment and Natural Resources	Member	Environment and Natural Resources
Esther K. Mutemi	Deputy Director, Sports	Member	Tourism, Sports and Culture
Emily W. Ndungi	Assistant Director, Records Management	Member & Technical Officer	County Treasury
Rev. Carolynah Kalimati	Assistant Director, Customer Relations	Member	Office of the Governor
Nancy Mulandi	Assistant Director, Policy & Research	Member	Office of The Governor
Francis Mulu	Assistant Director, Infrastructure	Member	Lands, Infrastructure, Housing and Urban Development
Victor Mwangu	Assistant Director, Statistics	Member	County Treasury
Francis Kea	Assistant Director, Trade	Member	Trade, Cooperative and Investment
Emma Ngute	Assistant Director ICT	Member	Education, ICT and Youth

			Development
Alex Muthyoi	Assistant Director, Monitoring & Compliance	Member	Health and Sanitation
Patrick Kiema	Assistant Director, Supply Chain Management	Member	County Treasury
Job Muisyo	Deputy Municipal Manager	Member	Kitui Municipality
Joseph Musunza	DeputyTown Administrator (Trade)	Member	Mwingi Town Administration
Michael Olage	Senior. Agricultural Officer	Member	Agriculture, Water and Livestock Development

Glossary of Terms

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 in order to establish the disposal action.

Archives – (1) Records accumulated by an organization or person in the course of their business and preserved because of their enduring value.

(2) Organization or part of an organization responsible for selection, acquisition, preservation and availability of archives (as in 1 above).

Assets Register - A list of assets, which includes their ownership and value.

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 mitigation against natural or man-made disasters and facilitating 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 either in paper or electronic format.

Enduring Value – The value of a record based on its uniqueness, age, significance or ability to convey an understanding of the operations of an organization or individual.

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

Filing System – A logical and systematic arrangement for classifying records into subject groups or categories based on definite scheme of natural relationships representing numerals, prefixes, or key words for identification.

Freedom of Information (FOI) – A general statutory right of access to information irrespective of age and format held by public institutions subject to a number of limited exemptions.

Information – Knowledge that is communicated and has facts, concepts, objects, events, ideas, processes, etc.

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

Non-current records – Records rarely needed by the office of origin to conduct current business.

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

Public Officer – As provided for under the Public Officer Ethics Act – 2003.

Public Records – Records created or received, and accumulated by public institutions in the conduct of business.

Record – Information created or received and maintained by an agency, organization or individual in pursuance of legal obligations or in 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 Centre or archives of records that have reached the end of their retention period.

Records Life Cycle – The records management premise that records pass through stages: creation, maintenance, use, and disposal.

Records Management – The systematic control of all records from their creation or receipt through 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 Programme – The programme ensures that records are created in an organized manner, in a manageable quantity and in suitable formats. It allows records only to remain in offices only as long as they are current and describes procedures for the storage and disposal of non-current records.

Records Management Unit (RMU)/Registry – This is unit within an organization that receives, maintains, processes and controls the flow of information and other records.

Records Manager – Person trained in records management and responsible for achieving efficiency in the creation, maintenance, use, and disposal of records.

Records of National Interest – Records emanating from activities that are government funded as well as all records that have social, political, economic, cultural and environmental implications to society.

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.

Retention Period – Period of time that records should be retained in their offices of origin or in records centres before they are transferred to the Archives for preservation or otherwise destroyed.

Semi-Current Records – records occasionally required in the conduct of current business.

Tracking of Records – Capturing and maintaining information about the movement of records in the process of business transaction.

Vital Records – Records containing essential information necessary for the continuity or resumption of operations in the event of a disaster.