



COUNTY GOVERNMENT OF MACHAKOS

RECORDS MANAGEMENT POLICY



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Preface

Effective records management is critical to the operation of any government. It ensures that accurate and reliable information is available for decision-making, supports the protection and preservation of our historical and cultural heritage, and facilitates transparency and accountability in our public service delivery. By implementing this policy, the County Government of Machakos reaffirms its commitment to maintaining the highest standards of records management.

The policy outlines the roles and responsibilities of all county departments in the creation, maintenance, storage, and disposal of records. It emphasizes the importance of compliance with established procedures, the use of technology for digital records management, and the protection of sensitive information through stringent security measures. Additionally, it provides guidelines for the retention and timely disposal of records, ensuring that only necessary and valuable information is preserved.

This policy has been meticulously formulated to align with national legislation, including the Constitution of Kenya, Article 35(1), which guarantees every citizen the right to access information held by the government, and the Public Archives and Documentation Service Act, Cap 19.

Chairperson County Public Service Board.....

ABBREVIATIONS AND ACRONYMS

CGM- County Government of Machakos

RMO- Records Management Officers

CO- Chief Officer

ARC-Archives Repository Centre

ICT-Information Communication Technology

HR-Human Resources

CRMC-County Records Management Committee

CRs- County Records

ISO-International Standard Organization

RMU- Records Management Units

RMC-Records Management Centre

RRDS-Records Retention and Disposal Schedule

KNADS-Kenya National Archives and Documentation Service

1.0 BACKGROUND

Proper records management plays a pivotal role in running the day-to-day activities, operations and transactions of the County Government of Machakos. Creation, storage, retrieval and management of information within the county offices is very critical if the County Government of Machakos is to continue conducting its business efficiently. The need for safe and secure records, and the demands of ISO 9001 and ISO 15489 makes it imperative to have a records policy framework in place. The policy will help in providing evidence of business transactions of the County Government and promote timely and quick access to information required to make decisions thereby enhancing the County's service delivery.

1.1 RATIONALE

A comprehensive records management policy is essential for ensuring legal and regulatory compliance, thereby reducing the risk of legal penalties and litigation. It enhances operational efficiency by standardizing processes and improving access to records, which supports better decision-making and productivity. The policy also safeguards sensitive information, protecting it from unauthorized access in compliance with data protection laws. Effective records management solutions minimizes storage costs, optimizes resource allocation, and supports risk management and disaster recovery by protecting vital records. It enhances accountability and transparency, providing a clear audit trail for internal and external reviews, and preserves the county's historical records for future research and reference. Additionally, a well-implemented policy supports strategic decision-making by providing reliable information, improves customer service, and promotes best practices and continuous improvement. It facilitates digital transformation and e-governance initiatives by integrating with Digital Systems, thereby enhancing the overall county's efficiency and the strategic value of information.

1.2 VISION

A global model of excellence in efficient and effective records management

1.3 MISSION

Committed to seamless acquisition, access, organization, dissemination and preservation of The County Government of Machakos information to facilitate efficient governance, foster accountability, and enhance the County's service delivery.

1.4 GUIDING PRINCIPLES

The County Government of Machakos Records Management Policy shall be based on the following guiding principles:

- All County Records (CRs) regardless of their format or location are within the jurisprudence and ownership of the County.
- Records in all formats created and received as evidence of county departments activities will be captured as records and maintained in all processes and systems. All CRs must be maintained for specific purposes and information contained in them must meet those purposes.
- The County Records Management Policy, program and practices will be based on current legislative requirements, audit rules, professional standards and best practices.
- The access and appropriate use of the records will be guided by this County Government of Machakos (CGM) Records Management Policy and Procedures.
- All the CGM records will be handled with appropriate care so that they remain authentic, reliable, secure and confidential.
- The CGM Records shall be preserved in secure and reliable record keeping systems to prevent unauthorized access, alteration, damage or removal.

1.5 LEGAL AND REGULATORY FRAMEWORK

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. Records Management Procedures Manual 2010 for the Public Service issued by the Ministry of State for Public Service.
- IV. The County Governments Act, 2012
- V. Leadership and Integrity Act, 2012
- 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. County Integrated Development Plan (CIDP), 2018-2022.
- XII. Kenya Information and Communication Act Cap. 411A (Revised 2009)
- XIII. 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.
- XIV. Ministry of State for Public Service, Personnel General Letter No. 1/2008(DPM.12/6A Volume 1(71) Dated 12 March, 2008.
- XV. Government Financial Regulations and Procedures Chapter 23 Sec 3 – 5.
- XVI. 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
- XVII. Government of Kenya security Manual, 2005
- XVIII. ISO 15489 (2016); Information and Documentation – Records Management.
- XIX. A Strategy for Improvement of Records Management in the Public Service 2011, issued by the Ministry of State for Public Service.
- XX. Kenya Vision 2030

2.0 RECORDS MANAGEMENT POLICY FRAMEWORK

2.1 INTRODUCTION

The development and implementation of this records management policy is tailored to the specific needs and objectives of the County Government of Machakos. By establishing clear guidelines and procedures, the CGM will manage information effectively while ensuring compliance with legal and regulatory requirements.

2.2 OBJECTIVE OF THE POLICY

Main Objective

Provide guidance in the records management for the purpose of ensuring that accurate and reliable records are created, used, maintained, appraised, retained with efficiency for effective running of the county's operations.

Specific Objectives

1. To define the duties and responsibilities of officers handling records within the CGM of Machakos.
2. To give guidance on records creation, use, storage, appraisal procedures.
3. To guide on the movement process of the records within the county departments and from the office of origin to Archives Repository Center.
4. To guide on how obsolete county records should be disposed of and destroyed.

2.3 SCOPE

This policy applies to;

1. All the records created or received in the course of carrying out CGM activities and transactions.
2. All the County staff.
3. The creation, receipt, use, handling, maintenance, storage and disposition of all records.
4. Records in all formats including but not limited to print, electronic, photographs, film, microfilms, microfiche, audio and video-tapes.

3.0 IMPLEMENTATION STRUCTURE

Implementing an effective records management structure involves several key components and steps which ensures that records are systematically controlled, organized, maintained, and accessible across the county.

3.1 STATEMENT OF AUTHORITY

The County Secretary holds the primary responsibility for overseeing the implementation and review of the Records Management Policy and Procedures Manual. The County Secretary will appoint members to constitute the County Records Management Committee.

The membership of the committee will be a maximum of 9 members, minimum of 7 members and a quorum of 5 members, with the inclusion of at least 2 records management officers.

3.2 RECORDS MANAGEMENT UNIT

The Records Management Unit shall be run by technical personnel with requisite training in records management.

Functions of Records Management Unit

1. Implement policies and procedures of records management.
2. Regularly prepare, maintain and review the filing and classification schemes.
3. Develop, implement and audit systems for records management.
4. Prepare records retention and disposal schedules.
5. Ensure proper records retention and disposal.
6. Establish proper planning and implementation of records disaster management.
7. Reference services.

3.2.1 Archives Repository Centre

An Archives Repository is a building in which archives are preserved for posterity and made available for consultation. Those records that are of permanent historical and cultural value are preserved in the Archives Repository.

Functions of the Archives Repository Centre

1. Acquire records from various county departments ensuring that CRs to be transferred to the ARC are preserved.
2. Implement measures to preserve records in their original format, preventing deterioration through proper storage, handling and environmental controls.
3. Provide access to records in the ARC for research and reference.
4. Ensure compliance with legal and regulatory requirements for records retention and disposal.
5. Develop and implement plans to protect records from disasters such as fires, floods and other emergencies.

4.0 DUTIES AND RESPONSIBILITIES OF OFFICERS IN REGARDS TO RECORDS MANAGEMENT

4.1 STATEMENT OF RESPONSIBILITY

The County Secretary holds the primary responsibility for overseeing the implementation of the Records Management Policy.

4.1.1 The County Secretary

The county secretary shall:

1. Establish a County Records Management Committee with members drawn from selected departments.
2. Ensure Accounting Officers allocate sufficient budgets towards records management activities in their respective departments.
3. Ensure standardization of physical infrastructure that is well equipped for maintenance, storage and preservation of the county's records.
4. Ensure the establishment of the County Records Centre for the management of semi-active and inactive records.
5. Oversee the design and implementation of electronic records management systems and other systems related to records/information management.
6. Ensure that all Heads of Departments implement, monitor and evaluate compliance with this policy.

4.1.2 The County Chief Officers

Chief Officers of each department in the County Government of Machakos are responsible for implementing the Records Management Policy within their respective departments.

This includes:

1. Ensuring staff training on records management practices.
2. Overseeing proper maintenance and disposal of records within their departments.
3. Ensuring compliance with the policy among their staff.
4. Allocating sufficient budget for records management activities within their respective departments.
5. Reporting any issues or concerns to the County Secretary.

4.1.3 Directorate of Records Management- Director Records Management

Director Records Management shall report to the Chief Officer in charge of registry.

The director will be responsible for:

1. Initiation, development, interpretation of records management policies and procedures in liaison with relevant departments and professional agencies.
2. Training and development of the records management staff.
3. Ensuring that the CRs are managed in a way that supports efficient administration and legal compliance.
4. Participating in maintaining, verifying and evaluating records management systems.

4.1.4 Records Management Officers

Records Management Officers are responsible for implementing the Records Management Policy at the departmental level, under the direction of their respective Chief Officers and the Head of Records Management.

They shall;

1. Organize and maintain records according to established procedures.
2. Provide guidance to staff on records management practices.
3. Facilitate the transfer and disposal of records as necessary.
4. Prepare and submit budget estimates for registry services.
5. Ensure compliance with policy requirements and reporting any issues or concerns as appropriate.
6. Ensure availability of working records management systems.

4.1.5 Head Systems Records/Archives Management Officer

Systems Records Management officer is responsible for managing and maintaining a digital records database in their respective departments

He/She shall be working in tandem with the other departmental records management officers.

They shall;

1. Liaise with the County Chief Officer in charge of registry and the Head of Records Management when developing and implementing electronic systems relating to the management of records.
2. 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.
3. Be responsible for the maintenance and storage of electronic records.
4. Ensure that all electronic records remain updated and accessible with technological change.
5. Ensure that backup for the electronic records form part of the overall backup

management system and are stored in reliable devices.

6. Liaise with the Head of Records Management in providing the necessary electronic management skills required by the users.
7. Advise the management on the currently available records management systems.
8. 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.
9. Ensure that back-ups are stored in a secure off-site environment.

4.1.6 County Records Management Committee (CRMC)

In performance of its advisory duties and responsibilities to the County Government on records management, the CRMC shall:

1. Give regularly records management status report
2. Advise the County Government on the implementation of the records management Policy
3. Develop and implement Records Procedures and Manuals.
4. Develop and implement a Disaster Management Plan for records.
5. Assist in planning and developing an Electronic Records Management System
6. Come up with operational systems and procedures to ensure that accurate and reliable records are created, maintained and secured.
7. Carry out reviews and audit of the Records Management and Archival Policy together with the mandated officers.
8. Assist in the development and implementation of a records retention and disposal schedule

5.0 RECORDS MANAGEMENT PROCEDURES

The County Government of Machakos shall develop records management procedures and manuals to ensure that accurate, secure and reliable records are created and maintained. The procedures and manual shall cover records creation, use, storage, appraisal, archiving and disposal. The following is the summary of CGM Records Management Procedure Manual. For more information, refer to the Machakos County Records Procedure Manual. (May 2024)

5.1 CREATION AND USE OF THE MACHAKOS COUNTY RECORDS

All County Government of Machakos staff charged with various duties are responsible and accountable for creating and keeping records that accurately record the functions, activities, transactions and decisions of the county. These may be in print or electronic format.

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.

5.2 RECORDS STORAGE, APPRAISAL AND SECURITY

Records Storage and Maintenance encompasses the following:

1. Provision of adequate and appropriate accommodation, space, equipment and supplies
2. Storage of records in designated areas using the right equipment
3. Enforcement of the use of control tools and procedures to track movement of files
4. Storage and maintenance of records in conformity with the existing file classification system;
5. With regard to electronic records, these shall either be retained online or offline;
6. Records of short-term value should be disposed of at appropriate intervals in line with the procedures provided for in the CGM Procedures and Manual.
7. That access to and use of records and information shall be limited to those with relevant authorization and approval from the director of records/ those with the respective delegated authority.

Records management staff must be aware of records in their system with their storage locations

at any given time.

Departmental records officers in consultation with their departmental heads shall identify vital records and have them secured, microfilmed and stored in secure offsite storage.

The storage room shall be well ventilated have the ideal stable temperature and humidity and not exposed to direct sunlight and heat.

5.2.1 Electronic Records.

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;

1. Data shall be audited and assessed bi-annually or on need basis
2. Electronic records shall be periodically converted to match the latest usable file types, particularly when a new information technology system requires that they be migrated forward in order to properly render the file.
3. Metadata is maintained during migration.
4. 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 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 declassification 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.

5.3 RETRIEVAL SYSTEMS

Each department shall have an effective system to retrieve information stored in the Archives Repository Centre (ARC.) Such systems include reference manual, processing forms, finding aids and suitable modes of internal and external transfer guides. Each department shall establish and maintain effective indexes, lists and registers to track records including the records classification scheme. Indexes may be alphabetic, numeric, alphanumeric and or chronological containing sufficient detail to ensure that the information in records can be availed as required.

5.4 RECORDS RETENTION AND DISPOSAL

TRANSFER OF RECORDS TO THE ARCHIVE REPOSITORY

1. The records officers shall identify records they intend to transfer to the ARC having classified them as general, confidential, secret, top secret.
2. The RMO shall appraise all records in question.
3. Paper Records approved for transfer shall be packed in standard archive boxes with lists of the contents.
4. Records transferred to the ARC shall be cataloged and accessioned according to standards approved by the CRMC.
5. Electronic records shall be transferred using the most suitable technology depending on size, format and content.

5.5 RECORDS RETENTION AND DISPOSAL SCHEDULES

The process of records retention and disposal will be initiated at the departmental level. Records retention and disposal schedules shall be developed by the departmental heads and RMO and shall be approved by the CRMC before they are implemented. Records retention and disposal schedules shall be subjected to revision every two years. The department 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 the period of time specific records are retained before their transfer to the ARC or destruction.

In developing the records retention and disposal schedule, the Departmental Heads and RMO shall consider the following factors; Legal, Administrative, Historical, Technical, Evidential, Fiscal, Functions of the department,

5.5.1 Semi-Active records

The RMO shall together with the departmental heads decide on the storage area of semi-active records. In cases that the department does not have storage space for the semi-active records, RMO and departmental heads shall transfer the records from registries to designated storage rooms.

The semi-active records will be transferred to the designated storage rooms to await appraisal. Non-active records are appraised to ascertain their value; those with continuing value shall be transferred to the archives repository while valueless records shall be destroyed upon approval by the CRMC.

5.5.2 Valuable records

Records classified by the mandated officers as valuable records for preservation shall be transferred from the records centers to the designated records archive.

Departmental heads and RMOs may keep backup copies of valuable records in either paper, electronic format or both in any other place within the departments as may be approved by the department's Top Management .

5.5.3 Destruction of valueless records

County records both physical and electronic shall be destroyed in accordance with the following existing laws and regulations;

1. County Governments Act, 2012
2. The Public Archives and Documentation Service Act (Cap 19)
3. The Public Procurement and Disposal Act, 2003
4. Personnel General Letter No. 1/2008 Ref. No. DPM.12/6A. Vol. 1(71)
5. Records Disposal Act, Chapter 14, Laws of Kenya
6. Any other relevant statute of the Republic of Kenya

Destruction of valueless records shall be witnessed and certified by the Records Officers. Valueless records shall be destroyed through: shredding, pulping or incineration.

5.6 Records Preservation

Records for preservation shall be transferred to the designated storage rooms periodically as per the Records Retention and Disposal Schedule. The 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.

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 Machakos 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.

6.0 POLICY IMPLEMENTATION

This policy will be put into use immediately on the date it is approved.

The county procedures for drafting a county records retention and disposal schedules, handling electronic records shall be undertaken soon after. All Heads of Department and RMOs shall be responsible for their departments' compliance with this policy. The Departmental RMOs are mandated to customize departmental Records Management Policies using this policy as a point of reference.

6.1 AUDIT AND REVIEW OF THE POLICY

As per legislative, professional standards and emerging best practices, the RM Policy, Procedures Manual and systems in place shall be subject to audit and review after every two years.