

RECORD MANAGEMENT POLICY

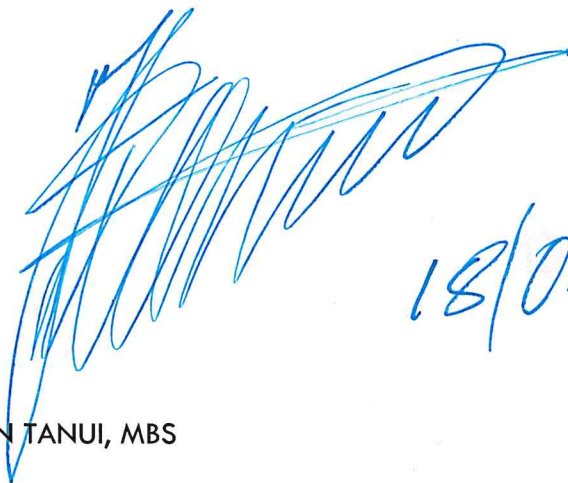
JANUARY 2021

FORWARD.

Information is one asset and the records of KoTDA are important sources of administrative, evidential, legal, and historical information. The Management of Authority's records are vital to the current and future operations, for the purposes of accountability, posterity, regulatory and for an awareness and understanding of its history and procedures.

The records management policy provides the Authority with a wide framework for the creation, systematic capture, registration, classification, use, storage, disposal and retention of records in accordance with the legislative requirements, standards and best practices which are applicable to the business activities of the Authority.

KOTDA strives to provide a conducive working environment in which both the employee and stakeholder's interests are served.



18/06/2021

ENG. JOHN TANUI, MBS

CHIEF EXECUTIVE OFFICER

ACKNOWLEDGEMENT

We wish to express our gratitude and sincere thanks to the CEO, Eng. John Tanui and the Board of Directors for providing the necessary resources to facilitate the development of this Record Management Policy.

We also acknowledge the contribution of the Chairs of various Committees and their members for their invaluable guidance and all the KOTDA staff who made the development of this Policy a success.

Your efforts and commitments are sincerely appreciated.

Chief Manager, Corporate Services

KOTDA

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1 INTRODUCTION

The management of Authority's records shall be carried out in compliance with The Public Archives and Documentation Service Act (Cap 19), and other relevant statutes, rules, and regulations.

The need to streamline records management into working processes, and the demands of ISO 9001:2015 and ISO 15489 makes it imperative to have records policy framework in place to address the challenges experienced in the management of records and archives in KOTDA.

1.1 Rationale

Records as a source of information, play a vital role in the management of the Authority by ensuring availability of documented evidence to inform decision making and regulatory compliance. They play a key role in the preservation of KOTDA identity, knowledge and contributes significantly to the realization of good governance hence minimising litigation risks. Records ensure that the organization has documented evidence of its activities on which it can base its decisions. Management recognizes that records significantly contribute to efficiency and effectiveness of service delivery in KOTDA.

1.2 Policy Statement

KOTDA is committed to effective records management systems, procedures and practices that meet legal standards for records creation, use, maintenance, retention, disposal, preservation, and confidentiality.

1.2.1 Objectives

- a. To create, use and preserve records for operational functions of KOTDA.
- b. To maintain and retain records as evidence for future use.
- c. To inculcate good record management practices.
- d. To protect records for quality assurance and performance contracting.
- e. To track movement of records and their retrieval.
- f. To identify and dispose archival records/destroy finished data.
- g. To control the generation and growth of records.
- h. To safeguard important/confidential information.

1.3 Scope

The Policy applies to all records created, received, maintained, used, retained, and preserved by all departments of KOTDA regardless of the form and media in which they are contained.

1.4 Legal, Regulatory and Policy Framework

The policy is informed by the Constitution of Kenya, the Public Archives and Documentation Service Act CAP 19 .and other related ACTS subsidiary rules, regulations and circulars

implemented in line with CAP 19.

2 RECORDS MANAGEMENT SYSTEMS AND PROCEDURES

2.1 Systems and Procedures

The Authority shall design systems and procedures to ensure that accurate and reliable records are created and maintained. The systems and procedures shall cover mail management, file/document management, records use and maintenance, and records disposal.

2.1.1 Mail Management

Management of mail shall be streamlined to support the KOTDA's operations. Receipt, registration, distribution, storage, and dispatch of all incoming and outgoing mail shall be coordinated from designated records management unit. Such mail shall be filed, arranged, and indexed in an appropriate way for ease of use and retrieval.

2.1.2 File/ Document Movement

Movement of files and documents shall be controlled manually by use of registers and through a records management information system.

2.1.3 Records Use and Maintenance

Users of the Authority's records shall include authorized employees and other persons authorized in writing by the CEO. Records shall be maintained and controlled to ensure adequate storage and protection to enhance accuracy and authenticity. This shall entail: -

- a. Developing procedures for receipt and distribution of mail
- b. Preparation and use of appropriate filing classification and indexing schemes
- c. Preparation and use of sound records retention disposal schedule
- d. Preparation and use of records operation manual
- e. Provision of records management unit for management of current, semi current, and closed records
- f. Provision of records storage archive and registry
- g. Provision of records centres for housing and servicing of semi-current records
- h. Provision of modern equipment and facilities for storage and preservation of records
- i. Equipping Authority's archive for housing and preservation of valuable records
- j. Enhanced use of ICT for management of records
- k. Putting in place disaster plan and recovery programme.

2.1.4 Records Disposal

- a. No record shall be destroyed, erased, or disposed without prior written authorization of the Director of the Kenya National Archives and Documentation Services, and the authority management.
- b. The Records Manager shall design and maintain the Records Disposal Schedule.

- c. Semi-current records shall be transferred from registries to designated records storage rooms in the Authority
- d. Records with archival value shall be transferred from the records storage room to the Authority Archive for permanent preservation.
- e. The Authority shall keep backup copies of vital records in any other place within or outside the Authority as may be authorized by the CEO.
- f. Some archival records may be transferred from the Authority archives to the KNA
- g. The valueless records shall be destroyed in accordance with the existing laws, policies and regulations governing destruction of Public Records, notably: "The Records Disposal Act, 2015 Cap.14, the Public Procurement and Disposal Regulations Act, 2005, and the Public Archives and Documentation Services Act, 1965 Cap. 19".
- h. Destruction of valueless records shall be witnessed and approved by the CEO
- i. Valueless records shall be destroyed through recycling, shredding, pulping, burning or any other appropriate means.
- j. Authority records that may be needed for litigation, audit, disciplinary cases investigations, and promotion of access to information may not be destroyed until such a time that the Legal Services Manager directs that the destruction- hold can be lifted.

2.2 Semi-Current Records

Semi-current records shall be transferred from registry to designated storage rooms or records centers.

2.2.1 Valuable Records

- a. Valuable records for preservation shall be transferred from the records centres to the Authority's Archive
- b. The Authority may keep backup copies of valuable records in electronic format in any other place within the Authority as may be approved by the Authority's Top Management or at the Kenya National Archives and Documentation Services.

2.2.2 Destruction of Valueless Records

The records of the Authority shall be destroyed in accordance with the following existing laws and regulations,

- a. The Public Archives and Documentation Service Act (Cap 19)
- b. The Public Procurement and Disposal Act, 2015
- c. Personnel General Letter No. 1/2008 Ref. No. DPM.12/6A. Vol. 1(71)
- d. Any other relevant statute of the Republic of Kenya

Destruction of valueless records shall be witnessed and certified by the Records Manager in consultation with Kenya National Archives and Documentation Services and approval by the Chief Executive Officer.

Authority records that may be needed for litigation, audit, disciplinary cases investigations, and promotion of access to information may not be destroyed until such a time that the Authorized Officer directs that the destruction- hold can be lifted.

3 GENERAL PROVISIONS

3.1 Compliance with the Records Management Policy

- a. All employees are expected to strictly adhere to the requirements of this policy without exception as they discharge their duties and responsibilities.
- b. Failure to follow the Policy and the associated procedures and instructions will lead to disciplinary actions.
- c. Any claim of ignorance as to the existence and/or application of this Policy shall not be a ground for justification of non-compliance.
- d. Any uncertainty as to the provisions of this Policy or any clarification shall be directed to the Records Manager.

3.2 Statement of responsibility

All records created or received by various offices/departments during official transactions are deemed to be the Authority's records. The entire workforce of the Authority shall be responsible and accountable for official records in their possession. On vacation of the office, officers shall hand over the official records in their possession to the immediate supervisor or to the Records Management Unit.

4 ROLES AND RESPONSIBILITIES

The policy identifies the following office holders as key in management of records:

4.1 Chief Executive Officer

- a. To account for the record keeping and records management systems, procedures, and practices.
- b. To ensure sound record management practices are implemented, maintained, and reviewed for effective service delivery.
- c. To ensure implementation of this policy.

4.2 Heads of Department

- a. Ensure that all employees are made aware of their record keeping and records management responsibilities and obligations.
- b. Nominate staff for training in record management.
- c. Responsible for the implementation of this Policy in their respective departments.
- d. Maintain sound record keeping and management principles and practices in their respective departments.
- e. Ensure that the management of records is a key responsibility of the staff in their respective departments.

4.3 Records Manager

- a. Sensitize staff regarding this policy.

- b. Advise the Management on the best record management practices and systems.
- c. Arrange training for staff on records management and create awareness on legislative and statutory requirements regarding record keeping and management.
- d. Ensure proper management of all Authority's records.
- e. Develop, maintain, and distribute detailed records management guides and procedures.
- f. Oversee the implementation of this policy.

4.4 Records Management Committee

- a. The CEO shall appoint the Records Management Committee.
- b. The Records Management Committee shall consist of a Chairperson, the Records Manager, as the secretary, and five other Authority's staff.
- c. The Committee shall play an advisory role to the Records Manager, Management.
- d. The Committee shall review this Policy from time-to-time as required.
- e. The Committee shall coordinate implementation of this Policy.

4.5 Information Communication Technology Manager

- a. Ensure day-to-day maintenance of electronic systems and procedures that create, preserve and store Authority's records.
- b. Work in conjunction with the Records Manager to ensure that Authority's electronic records are properly used, maintained, securely protected, and preserved.
- c. Work in conjunction with the Records Manager to ensure that back-up records and information are stored in a protected off-site unit.
- d. Oversee the implementation of the Electronic Record Management system
- e. Perform any other duties as specified in KOTDA ICT Policy in relation to electronic records management.

4.6 Manager Legal Services

- a. Advise the management and staff on existing legal and regulatory framework on records management.
- b. Be responsible for keeping the Management and Records Manager informed and updated on new developments in the legal and statutory framework that impact on records keeping, management practices and procedures in the Authority.

4.7 Staff in Records Management Unit

- a. Ensure effective creation, storage, protection, retrieval, and disposal of records.
- b. Ensure that records are well maintained.
- c. Implement an efficient record filing system.
- d. Facilitate easy retrieval of records.
- e. Maintain records movement register.
- f. Create an up-to-date reference system.
- g. Receive, sort, classify, and dispatch all incoming mail.
- h. Ensure security of information, documents, and files.

- i. Create new records and classify them as appropriate.
- j. Offer technical support to Authority staff on records management.

4.8 Employees

- a. Create and maintain records of transactions while conducting official duties.
- b. Adhere to the provisions of this Policy.

5 APPENDICES

5.1 Records Retention Schedule

Records Retention Schedule describes the period that specified types of records are to be retained before final disposition of the records can be made. This is a guide; therefore, Departments shall develop their specific Records Retention Schedules for records unique to them.

SUBJECT	RETENTION PERIOD	DISPOSAL ACTION
Application for employment	1 Year	Destroy
Boards, minutes	Permanent	Transfer to Archives
Circulars	Permanent	Retention to Archives
Contracts and Agreements	Permanent	Retention to Archives

6 REVIEW DATE

The policy document shall be subject to review every three years to keep in pace with the changing trends in the organization's environment and any other changes required as directed by the government. However, it can also be reviewed as need may arise or at such intervals as the Board and Management may determine.

7 EFFECTIVE DATE

This policy comes into effect from 1st January 2021.

8 REFERENCES

1. Constitution of Kenya, 2010
2. KOTDA Act, 2012
3. KOTDA Strategic Plan 2015- 2019
4. Official Secrets Act
5. Public Archives and Documentation Service Act, 1965 Cap. 19
6. Public Procurement and Disposal Regulations Act, 2005 Quality Manual, 2012
7. Records Disposal Act of 2009 Cap. 14
8. Records Management Manual for Public Service of 2010

9 GLOSSARY

Acceptable Proposal Acceptable is interpreted to mean that a department is able to determine that the quality of the proposals and the technical competence, experience, past performance and work on hand of those consultants submitting proposals are such as to anticipate satisfactory performance

Accessibility The attribute of being easy to meet or deal with

Adaptations Includes redesigning of implements, tools, equipment, machines, workstations, work environment or adjustment in work schedules, sequence of work and breaking down tasks to suit of the Authority's staff with disabilities

Archival records Refer to records that are permanently preserved in the Authority archives.

Archival value Records that have historical, fiscal, and legal value.

Archives Refer to records older than 20 years containing permanent historical information or research. These records are to be stored in the KOTDA Archive.

Assessment It is a method of gathering information to ascertain the needs and the required services for persons with disabilities

Authentic records Refers to records that can be proven by the provenance to be their official records and they can prove they are what they claim to be trustworthy and useable and are complete and unaltered.

Board Means the KOTDA Board of Directors

Confidential records Refer to records that are accessible to only authorized persons in the Authority.

Confidentiality The right of every person, employee, or job applicant to have his/her medical/other information, including HIV status kept secret.

Conservation Refers to the process of treating and repairing of the altered, old, worn-out records to make them usable.

Consultant An external consultant is deemed to be a private individual, group of individuals, company or institution with a high level of attainment in a professional, scientific, technical or managerial field which is engaged directly by a government department to perform specific work of an advisory nature (provide as per PPAD)

Correspondence system A set of paper-based and electronic communications and associated documents, sent, received, generated, processed, and stored during the conduct of business.

Current records: Records that are regularly created and used for the conduct of Authority business.

Custody The control of records based upon their physical possession.

Department A unit in the Authority responsible for provision of services and products that supports its activities.

Disposal authority A written authority issued by the National Archivist specifying which records should be transferred into archival custody or specifying which records should be destroyed/deleted or otherwise disposed of.

Disposal The action of either destroying or deleting a record or transferring it into archival custody

Document Recorded information in any format.

Electronic records Information which is generated electronically and stored by means of computer technology. Electronic records can consist of an electronic correspondence and record systems other than the correspondence system.

Evaluation The assessment of the impact of a programme at a point in time

Fee-for Service Applies when a consultant is either required to be available on an ongoing basis to perform specific tasks, upon request, and paid at an hourly rate or per diem rate (in some cases a retainer may be applicable); or is engaged to perform a task which has a high degree of uncertainty relative to its financial and functional scope.

File plan A pre-determined classification plan by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.

Filing system, the collective noun for a storage system (like files, boxes, shelves or electronic applications and storage systems) in which records are stored in a systematic manner according to a file plan.

issues.

Monitoring Continuous assessment of a programme

KOTDA Archives The building or room in which records with archival value are preserved permanently.

KOTDA records Documents, data or recorded information in all media and formats created, received, and maintained as evidence and information of the activities of the Authority.

Non-archival records with a short-lived interest or usefulness.

Non-current records that have ceased to have any administrative value.

Policy A statement/frame work/guide setting out a department's or organization's position on an issue

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

Programme A plan of action that includes planning, resource allocation, implementation, monitoring and evaluation

Provisions Refers to policy pronouncements on actions to be taken or the resources provided.

Record keeping Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.

Record Recorded information, regardless of form or medium, to show evidence of a transaction, preserved for the evidential information it contains.

Recording Anything on which sounds or images or both are fixed, or from which sounds or images or both are capable of being reproduced, regardless of form.

Records classification system A plan for the systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods and procedural rules represented in the classification system.

Records life cycle Various stages of existence through which recorded information passes.

Records Management Policy Implementation Committee A Committee established to oversee the records management functions within the Authority

Records management A process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent, and accountable governance.

Records other than correspondence systems Refers to records that do not form part of a correspondence file, or a case file e.g. registers, maps, plans, electronic records, audio-visual records, etc.

Registry Refers to room where records are kept.

Retention period the length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted.

Semi-current records These are records whose administrative value declines and reference to them becomes less frequent and irregular.

Valueless records that are non-current and have no administrative value.

Vital records These are essential records for the continuation of business and those records, which protect the rights and interests of KOTDA employees. They include records relating to employee compensation and benefits, insurance, valuable research findings, proof of ownership, financial interests, legal proceedings, and decisions.

Workplace Programme An intervention to address a specific issue within the workplace

Workplace Occupational settings, stations, and places where the Authority's staff members are officially engaged to implement the Authority's mandate.



NAIVASHA COUNTRY HOTEL T / A SAWELA LODGES
 THE MIRAGE TOWER 3, 6th FLOOR, CHIROMO WAIYAKI WAY
 P.O.Box 51391-00100 Nairobi Kenya
 Tel: + 254 202214960
 Website: www.sawelalodges.com

CONFERENCE -QUOTATION

DATE: 02/06/2021

CLIENT NAME/ ADDRESS: KONZA TECHNOPOLIS

VINCENT

DATE IN	DATE OUT	DESCRIPTION	QUANTITY	NO. OF DAYS	UNIT PRICE- KSH	TOTAL-KSH
14/06/2021	17/06/2021	CONFERENCE	18	4	4,500.00	324,000.00
		PROJECTOR-INCLUSIVE				
					TOTAL	324,000.00

ALL PRICES ARE INCLUSIVE OF TAXES

THE ABOVE PACKAGE INCLUDES:

- Use of conference facility.
- Buffet lunch.
- AM / PM Tea or Coffee breaks with assorted snacks
- 01 soft Drink per person during Meals
- 02 Bottles of (500ml) Mineral water Per person in the conference room
- Writing Pad and pen each participant
- Flip chart with 3 markers
- Unlimited High-speed Internet connectivity (Wi-Fi)

N/B - Other Special activities can be arranged during your stay at affordable charges like.

- Special BBQ bush dinner @ 2,700 Per person
- Cocktail Parties @ 2,500 Per person
- Organized tours around Naivasha
- Boat ride at Ksh. 2500 pp@ child 1000 -minimum 2 Pax per boat (07-Seater) 01 hour boat ride.
- Break away Rooms @ 25,000 per day
- Board room Supplement Ksh. 25,000 per room of 16 pax per day

GENERAL NOTES:

- Lake Naivasha Sawela Lodge representative will be assigned to this group to manage the entire program. This includes on-site arrangements.
- This document MUST be signed and returned to Sawela Lodges to cater to your specific requirements and to allow for a well-organized event.
- Lake Naivasha Sawela Lodge reserves the right to change the program and schedule in case of adverse weather conditions.
- The Sawela Lodge is highly concerned with the plight of the physically challenged persons, and has put in place facilities to cater for their various needs.
- This quotation cost is subject to change in case of unforeseeable changes in fuel and other levies.

CANCELATION POLICY:

- For accommodation cancelled or reduced in number between 15 - 07 days from noon on the date of Check in 100% cancellation charge will apply
- In case of cancellation less than 07 days from noon on the date of check in, or in case of No-show - 100% of the net value of the booking shall be charged.
- Cancellation or reduction in number once an LPO is issued, similar charges will apply as spelled in clause 1 & 2
- In case participants fail to turn up in full as per the booking in this case "No show" 100% as per contract (LPO) will be charged.
- In case delegates decide to check out before their duration is over as per the LPO or contract, room charge will be charged in full for remaining subsequent days.

NB - WIRELESS CONNECTION :Wifi connection in guest ,meeting rooms and public area is complimentary ,For heavy browsing and teleconferencing which are a premium option and available for a charge, you will need to notify us in advance so that we may make arrangements for dedicated capacity.

PAYMENT TERMS & CONDITIONS

- This is just a quotation and no rooms have been blocked at this stage, this will be done once a written confirmation has been received (subject to availability at that point in time) thereafter a reservation will be done upon receipt of 80% downpayment with an LPO to firm up the same
- Any Extras shall be paid for prior to departure from the hotel.
- A list of participants will be required in advance to assist with room allocation.
- Any outstanding invoice that exceeds the contract payment period will attract an interest of 2% per month of any outstanding amount cumulatively

I have read the above Terms & Conditions, I understand them and I agree to be bound by them.

Kindly sign below and fax (or email) a copy of the same to us

Name (Contact Person)

Date: Signature:

OFFICIAL STAMP

PAYMENTS ADDRESSED TO

BANK NAME: FAMILY BANK
 BRANCH: NAIVASHA
 A/C NAME: NAIVASHA COUNTRY HOTEL LTD
 A/C No 053 00000 3612
 CURRENCY: KSH
 FAMILY BANK CODE: 070
 BRANCH CODE: 053
 SWIFT CODE: FABLKENA

