



KENYA PLANT HEALTH INSPECTORATE SERVICE (KEPHIS)

Records Management Policy

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FOREWORD

Kenya Plant Health Inspectorate Service (KEPHIS) seeks to transform records management in order to facilitate delivery of quality service to stakeholders and also create institutional memories for posterity. Sound record keeping plays a vital role in providing documentary evidence of activities, operations and transactions undertaken in each directorate.

Our main objective is to promote and maintain effective and efficient records management systems, procedures and practices through enhancing timely accessibility and sharing of information as well as providing a platform for central reference and uniformity in records management. 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.

Records are important corporate assets that must be highly profiled as they underpin business by supporting daily functions and operations. They contribute to policy formulation, decision-making, act as a reference point and uphold knowledge and evidence-based governance.

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

It is expected that all employees adhere to the KEPHIS Records Management Policy alongside other existing laws and regulations governing records management. This will facilitate effectiveness, efficiency and improved service delivery in the day to day management of records in the Service.

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Managing Director

DEFINITION OF TERMS

Employee	An individual employed by the Corporation other than a casual employee as defined in Employment Act Cap 2007.
File/Document Movement Register	A record used to describe the details of a record, destination and actioning officer.
Policy	A guide that establishes the parameters for decision making and action.
Records Management	Efficient and systematic control of the creation, receipt, maintenance, use and disposal of records including the processes for capturing and maintaining evidence of information about business activities and transactions in the form of records (ISO 15489-1:2001).
Records Officer	Employee responsible for records management in the Corporation (ISO 15489-1:2001).
Records Retention Schedule	Document that describes the records of the Corporation; establishes the retention periods and provides procedure for records disposal.
Records Retrieval	Refers to Locating and delivering records for use.
Records storage	Preservation measure for keeping documents under defined conditions and permitting their retrieval or the information contained in them.

Registry	Section within the Corporation that is responsible for the management of records.
Retention Period	Period of time that records should be maintained in the registry before they are transferred to the Archives for preservation or otherwise destroyed.

ABBREVIATIONS & ACRONYMS

KEPHIS	Kenya Plant Health Inspectorate Service
KNADS	Kenya National Archives Documentation Service
ISO	International Organization for Standardization
MD	Managing Director
ICT	Information Communication & Technology
SOPs	Standard Operating Procedures
ISMS	Information Security Management Systems

TABLE OF CONTENT

Contents

FOREWORD	ii
DEFINITION OF TERMS	iii
1.0 INTRODUCTION.....	2
1.1. Rationale	2
1.2. Policy Objectives	3
1.3. Scope.....	3
2.0 LEGAL AND REGULATORY FRAMEWORK.....	4
3.0 RECORDS MANAGEMENT SYSTEMS AND PROCEDURES.....	4
3.1. Establishment of a Registry.....	5
3.2. Mail Management.....	5
3.3. Records Use and Maintenance	5
3.4. Creation & Capture.....	6
3.5. Electronic Records Management.....	7
3.6. Security of Records	7
3.7. Disaster Management.....	8
3.8. Access to Records	8
3.9. Protection of Records	9
3.10. Records Disposal.....	9
3.11. Destruction of records	9
4.0 STATEMENT OF RESPONSIBILITIES.....	10
5.0 MONITORING & EVALUATION	10
6.0 REVIEW OF THE POLICY	11
7.0 REFERENCES	11

1.0 INTRODUCTION

The management of public records in Kenya is governed by the Public Archives and Documentation Service Act, Cap 19, 1965 (Revised 2003) of the laws of Kenya. This Records Management policy has been formulated as a guide to the required standards of practice in the management of records within Kenya Plant Health Inspectorate Service (KEPHIS).

The specific activities in the records management cycle will be stipulated in the Service's relevant standard operating procedures under the Quality Management System. 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 system which shall progressively evolve towards the achievement of ISO standards.

1.1. Rationale

Records ensure that the organization has documented evidence of its own activities on which it can base its decisions. Properly managed records contribute to policy formulation leading to faster decision-making processes which directly impact on efficiency, effectiveness and act as a reference point and uphold knowledge and evidence-based governance. An organization's ability to function effectively and give account of its actions can therefore be negated if sound records management principles are not applied.

When records are archived, they form the memory of the institution and are part of the societal memory and documentary heritage providing historical evidence for decisions and actions undertaken.

1.2. Policy Objectives

To provide guidance in the management of records for the purpose of ensuring that accurate and reliable records are created, used, maintained and disposed as required. The specific objectives shall include:

- i. To enhance information access and sharing;
- ii. To maintain relevant records to support the decision-making process;
- iii. To ensure that record storage is cost-effective through removal of redundant records from filing and server space;
- iv. To ensure that records are created and managed in compliance with existing legal and regulatory frameworks;
- v. To increase clarity of roles and responsibilities amongst employees with regard to records management;
- vi. To develop a safe and secure records management systems;
- vii. To establish an electronic/digital records management system.

1.3. Scope

The Policy applies to all records created, received, maintained, used and preserved at KEPHIS, regardless of the media and format in which they are contained. It provides guidelines on how records will be managed and controlled effectively at best value within the legal, operational and information needs framework.

2.0 LEGAL AND REGULATORY FRAMEWORK

KEPHIS records are Public Records and as such, the Service shall take necessary actions to comply with the legal, regulatory and professional guidelines. In particular, the Service shall adhere to the following statutes which provide for various aspects of records management in ensuring records integrity for timely information availability and access:

- i. Article 35 (1) of the Constitution of Kenya which guarantees every citizen's right to access to government information.
- ii. The access to information Act No.31 of 2016
- iii. Public Archives and Documentation Service Act Cap 19, Laws of Kenya
- 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. Government of Kenya security Manual, 2005
- xiii. ISO 15489 (2016); Information and Documentation – Records Management.
- xiv. Records Management Procedures Manual 2010 for the Public Service issued by the Ministry of State for Public Service.
- xv. A Strategy for Improvement of Records Management in the Public Service 2011, issued by Ministry of State for Public Service.
- xvi. Kenya Vision 2030.
- xvii. The Data Protection Act, 2019
- xviii. ISO/IEC 27001

3.0 RECORDS MANAGEMENT SYSTEMS AND PROCEDURES

The Service 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.

3.1. Establishment of a Registry

- i. For a sound records management to be achieved, KEPHIS shall establish a central registry where all records of the Service shall be managed and retained.
- ii. The registry shall be accessible to only authorized personnel.
- iii. Records in "subject files" shall be retained at the main registry while those classified as "confidential personal" records shall be retained at the Managing Director's office, Deputy Director's (Regions) and the Human Capital's office.

3.2. Mail Management

For records to support organizations' business transactions, management of mail shall be streamlined. Receipt, registration, distribution, storage, and dispatch of all incoming and outgoing mail shall be coordinated from a designated records management office (Registry). Such mail shall be filed, arranged, and indexed in an appropriate way for ease of retrieval in accordance with the relevant standard operating procedures (SOPs).

3.3. Records Use and Maintenance

- i. Users of KEPHIS records shall include staff, authorized state agents and interested members of the public in line with laid down regulations.
- ii. Access and use of Service records by external stakeholders shall be granted through written authorization from the MD.
- iii. Records shall be stored centrally at the main registry and access granted to individual staff members upon authorization by supervisor.

- iv. Records shall have controlled storage to enhance safety, timely availability and ease of accessibility. This shall entail: -
- a. Establishment of registry for management of active records.
 - b. Provision of adequate directorate records storage space.
 - c. Establishment and maintenance of electronic records management systems.
 - d. Equipping the registry with modern facilities for preservation of records.
 - e. Developing procedures for receiving and distribution of mail.
 - f. Preparation and use of appropriate filing classification and indexing schemes.
 - g. Adoption and implementation of records procedures.
 - h. Development and use of a records retention and disposal schedule.
 - i. Putting in place disaster risk management plans and a recovery programme.
 - j. Mainstreaming use of ICT in records management.
 - k. Instituting any other measures to enhance effective records keeping.

3.4. Creation & Capture

In order to facilitate and support its daily operations, KEPHIS shall:

- i. Create accurate, complete, reliable, authentic and usable records;
- ii. Capture all new records using the 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

Manage records throughout their life cycle in a continuum of care.

3.5. Electronic Records Management

Electronic records generated or received by officers in the course of official business are public records. To maintain integrity, accuracy and authenticity of electronic records, KEPHIS shall ensure that:

- i. Officers at all levels are provided with adequate skills and competencies in the management of electronic records.
- ii. Electronic records are managed effectively as part of a comprehensive records management system.
- iii. Electronic records are maintained in electronic form where appropriate.
- iv. Maintenance and provision of authorized access to electronic archives is a shared responsibility between KEPHIS and KNADS.
- v. Electronic records which may be required in future as evidence shall comply with metadata requirements, which should include content, context and structure.
- vi. Practical strategies are taken for the long-term preservation of electronic records in view of technological obsolescence.

3.6. Security of Records

The organization shall establish, implement, maintain and continually improve an information security management system(ISMS), in accordance with the requirements of (ISO /IEC 27001)

KEPHIS shall protect its records in all formats against:

- i. Unauthorized access;
- ii. Unauthorized removal from their place of custody;

- iii. Leakage of information;
- iv. Mishandling;
- v. Malicious damage;
- vi. Exposure to physical, biological and chemical damage;
- vii. Technological obsolescence and
- viii. Alteration, manipulation and loss.

3.7. Disaster Management

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

The disaster management plan shall consider:

- i. Records master list, including their location and control tools;
- ii. Emergency response team contact information;
- iii. Training plan and schedule for emergency response team;
- iv. Emergency contacts lists and back up resources; and
- v. Procedures for review, update and test of the plan.

3.8. Access to Records

- i. Access to KEPHIS records and information shall be provided within the existing regulatory framework.
- ii. 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.
- iii. Records shall be classified as top secret, secret and Confidential. These records shall only

be accessed by the MD, Directors, Corporation Secretary and Deputy Director Human Capital.

- iv. Security status or restrictions on records shall be reviewed periodically to determine the need for additional control measures or for de-classification of information.

3.9. Protection of Records

The Service shall put in place sufficient protective measures to ensure preservation of records. The measures will include off-site storage, duplication and dispersal of the records, storage in fire proof vaults or safes, installation of smoke detectors, fire alarms and fire suppression systems among others.

3.10. Records Disposal

- a) KEPHIS records shall be disposed in accordance with the existing laws and regulations.
- b) KEPHIS shall develop records retention and disposal schedules in consultation with the Director, Kenya National Archives and Documentation Service (KNADS).
- c) Records for preservation shall be transferred to the Kenya National Archives and any other institutional archives approved as a place of deposit by the Director, KNADS.
- d) Prior to transfer of records, classified records will be reviewed by both KNADS and KEPHIS to determine when the records will be de-classified.
- e) Upon transfer of records, KEPHIS shall relinquish both physical and legal control of the records to the National Archives as the custodian of public records/archives selected for permanent preservation.

3.11. Destruction of records

- i. Records (both manual and electronic) shall be destroyed in accordance with the existing laws and regulations.
- ii. Destruction of records upon approval by KNADS, shall be witnessed and certified by

KEPHIS representative.

- iii. Records shall be destroyed through shredding, pulping, incineration or any other environmentally friendly destruction method.

4.0 STATEMENT OF RESPONSIBILITIES

All KEPHIS employees shall be responsible and accountable for official records in their possession. On vacation from the office, staff shall hand over the official records in their possession to the accounting officer/MD.

- a) **The Managing Director and Directors and Senior Managers** shall ensure that KEPHIS complies with the requirements of legislation affecting management of the records and with supporting regulations and codes.
- b) The **Deputy Director Human Capital** through the designated officer-in-charge of records management shall be charged with corporate Records Management responsibilities and will work closely with all directorates to ensure that there is consistency in the management of records.
- c) **Records Management staff** in directorates shall be responsible for ensuring that records and information systems in their functional areas conform to this policy and to the requirements of legislation.
- d) **All members of staff** shall be responsible for documenting their actions and decisions in the records and for maintaining the records in accordance with good records management practice and professional guidelines.
- e) The **Deputy Director ICT** Shall assist the Records Office in automation of records and implementation of electronic records management systems.

5.0 MONITORING & EVALUATION

The Service shall develop monitoring and evaluation tools to track the progress of

implementation of records management activities.

6.0 REVIEW OF THE POLICY

The Records Management Policy shall be reviewed when need arises to be in tandem with change in legislation, status and emerging issues.

7.0 REFERENCES

1. Records Management Manual.
2. ISO 15489-1:2016, Information & Documentation – Records Management
3. ISO 9001: 2015, Quality Management Systems
4. ISO 27001:2013, Information Security Management Systems