REVISED DAYSTAR UNIVERSITY POLICY & STANDARDS FOR RECORDS AND ARCHIVES MANAGEMENT

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FOREWORD

Our records and archives speak volumes of Daystar’s rich history in its extra ordinary journey of faith and steadfast adherence to a mission and vision. Our quest for academic excellence, dynamic approach to teaching and research grounded on a firm Christian foundation traces its roots back to 1964. Daystar University has since grown considerably and continues to expand both in physical facilities and in student population, its vision to develop servant leaders to serve their communities and nations remains the same.

Daystar University recognizes that proper management of records is vital in the realization of its Mandate, Vision and Mission. We therefore endeavor to develop sound record management systems, procedures and practices that meet international standards to document our activities. The university understands that properly managed records are an asset, and a reference for sound governance and management, and those records contribute not only to efficiency and effectiveness of service delivery; but also constitute vital management tools for decision-making, policy formulation, implementation, monitoring and evaluation. The preservation of these records offers Daystar University an opportunity for posterity through keeping and sharing its rich memory and heritage for present and future generations.

This policy sets out our commitment to achieving high standards in records management. The policy will be supported through the delivery of standards, guidance and procedures, which are documented within the mandate of the University. By adopting this policy we aim to ensure that the record, whatever form it takes, is accurate, reliable, ordered, complete, useful, up to date and accessible whenever it is needed to: help us carry out our business and help us to make informed decisions.

Prof. Timothy Wachira
Vice-Chancellor,
Daystar University
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DEFINITION OF TERMS

Access: Right, opportunity, means of finding, using or retrieving information from records and archives. [ISO 15489]

Accountability: Principle requires that individuals, organizations, and the community are responsible for their actions and may be required to explain them to others. [ISO 15489]

Appraisal: The process of evaluating business activities to determine which records need to be captured and how long the records need to be kept, to meet business needs, the requirements of organizational accountability and community expectations.

Archive: The whole body of records of continuing value of an organization or individual, sometimes called ‘corporate memory’.

Archives: Those records that are appraised as having continuing value.

Business activity: Umbrella term covering all the functions, processes, activities and transactions of an organization and its employees.

Classification: Systematic identification and arrangement of research/academic/business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system. [ISO 15489]

Conversion: Process of changing records from one medium to another or from one format to another for long term preservation and archival storage. [ISO 15489]

Destruction: The process of eliminating or deleting records, beyond any possible reconstruction. [ISO 15489]

Disposition (keeping, moving or removing records): Range of processes associated with deciding whether to keep, destroy, or transfer records. These are documented in disposition authorities, retention schedules or other instruments. [ISO 15489]

Document, noun: Any recorded information or object which can be treated as a unit. [ISO 15489]

Electronic records: Records communicated and maintained by means of electronic equipment.

Evidence: Information that tends to prove a fact, not limited to the legal sense of the term.

Indexing: The process of creating access points to facilitate retrieval of records, archives and/or information. [ISO 15489]

Metadata: Data describing context, content and structure of records and their management through time. [ISO 15489]

Migration: Process of moving records from one system to another, while maintaining the records’ authenticity, integrity, reliability and usability. [ISO 15489]

Preservation: Processes and operations involved in ensuring the technical and intellectual survival of authentic records through time. [ISO 15489]

Record series: A group of related records that are normally used and filed together or otherwise linked and that allow consideration as a unit for use, review, retention or destruction purposes.
**Records:** Information created, received and maintained as evidence and/or information by an organization or person, in pursuance of legal obligations or in the transaction of business. [ISO 15489]

**Records management:** Field of management responsible for the efficient and systematic control of the creation receipt, maintenance, retrieval, use and disposition of records. These include processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. [Based on ISO 15489]

**Registration:** Act of giving a record a unique identifier on its entry into a system. [ISO 15489]

**Retention schedule:** An instrument of authority designed to

**Security marking:** Indicators defining the handling, storage and disposal arrangements, which are required to protect the material to a level appropriate to its sensitivity.

**Tracking:** Creating, capturing and maintaining information about the movement and use of records. [ISO 15489]

**Transfer [custody]:** Change of custody, ownership and/or responsibility for records. [ISO 15489]

**Transfer [movement]:** Moving records from one location to another [ISO 15489]

**Vital records:** Records, in whatever form, that are essential to the continued operation of Daystar University in case of a disaster.

**PART A: PREAMBLE**

1.1 **About Daystar University**

The University was founded in Bulawayo, Zimbabwe, by S.E Motsoko-Pheko, a political refugee from South Africa and Dr. Donald Smith & Mrs. Faye Smith, an American missionary couple. The University relocated to Nairobi Kenya in 1974 and was granted a charter as an accredited university in 1994. The name ‘Daystar’ is derived from the Bible (2nd Peter 1:19), which is used to describe Jesus Christ. With this in mind, every member of Daystar University is encouraged to emulate Jesus Christ in behavior, lifestyle and speech.

1.2 **Vision Statement**

Daystar University aspires to be a distinguished, Christ-centred, African institution of higher learning for the transformation of Church and society.

1.3 **Mission Statement**

Daystar University exists to develop managers, professionals, researchers and scholars to be effective Christian servant-leaders through the integration of Christian faith and holistic learning for the transformation of Church and society in Africa and the world.

1.4 **Core Values**

The realization of the university’s Vision and Mission is based on the following core values: Christian Values, Servant Leadership, Excellence, Education and Effective Communication. Daystar University’s philosophy, as enshrined in these vision and mission, is disseminated and
made known to the Universities constituents, through various for a including University’s website, catalogue and student’s handbook. The institution’s vision and mission and strategic objectives are cascaded to the delivered courses and programmes; and to ensure that the University fulfills its mandate to students’ overall learning experience.

1.5 Academic Highlights
The University combines impressive modern facilities and a dynamic approach to teaching and research. Daystar University strives for excellence in its teaching and research methods. The University is well known for quality in teaching. Training is personalized and by highly qualified faculty. The Nairobi Campus is situated at the Valley road/Ngong road junction. The campus offers daytime diploma courses, daytime pre-university programme, day/evening undergraduate programmes and evening postgraduate programme. Built on 300 acres of land, the University’s Athi River Campus is 40 kilometers from Nairobi situated on the edge of the Athi plains on the slopes of the Lakenya Hills. It is home to over 2,000 students both local and international. Pre-university and daytime undergraduate programmes are offered at the Athi River Campus.
PART B: POLICY PROVISIONS

2.1 Records Management

Records management is the systematic control, organization, access to and protection of an organization’s information whether on tape, disc, paper or film from the time of its creation through its use, to its permanent retention or legal destruction (ISO 15489-1:2016E). It therefore involves an organized system designed to control the creation, maintenance and use and disposition of information in the form of records.

Daystar University is required by law to manage its records properly; statutes such as the Public Archives & Documentation Services Act (Cap 19-2002), the Companies Act (Chapter 486) and the Copyright Act (Cap 130-2003) of the laws of Kenya are particularly relevant, as they set out specific requirements on the creation and management of information in records.

Good records management relies on the following principles being applied:

2.1.1 The regular review of information
2.1.2 The controlled retention of information
2.1.3 The controlled destruction of information
2.1.4 Good management of records and the information contained within them will benefit the University through:
   2.1.5 Records being easily and efficiently located, accessed and retrieved
   2.1.6 Information being better protected and stored more securely
   2.1.7 Records being disposed of safely and at the right time

The principle of records management is to ensure that a record is managed through its full Records Life Cycle i.e. the creation or receipt of a record, maintenance of the record, managing its use, access to it, storage, retrieval and finally disposal of the record.

This policy aims to make sure that all staff of The University and other users of Daystar University records understand what they must do to protect and manage records effectively, efficiently and economically. This policy is supported by a set of records management standards, which must all followed.

These standards:

2.1.8 Set out how to manage the records of Daystar University and what tools to use;
2.1.9 Measure compliance of existing and evolving departmental records management practices;
2.1.10 Identify and promote best practice; and
2.1.11 Support the increased use of electronic records to gain operational benefits without introducing extra risks as we gear towards the paperless society.

The policy is based on the International Standard for records management ISO 15489: Information and Documentation - Records Management. However, each university department shall be responsible for developing working procedures for the day-to-day management of their records.

2.2 Purpose

The purpose of this policy is to establish the framework for responsible management of all records and archives of Daystar University herein also referred to as ‘The University’. This
policy is not intended to be a statement of the current ability of the university to store, retrieve or access records and archives. It is a statement of goals and expectations that will facilitate standardization in the application of procedures and practices in management of all records and archives of The University. The realization of such goals and expectations will result in more effective and efficient records and archives management for the university.

2.3 Rationale

Daystar University has a substantial volume of records relating to its history, teaching, research, students, staff, financial and other activities. In order to efficiently conduct its business; the storage, retrieval and management of these information reserves is a significant issue. The University endeavors to balance its statutory obligations in line with its Vision, Mission, Objectives and core Values; while remaining open and responsive to confidentiality for its academic, personal and financially sensitive records. The University understands that having accurate and relevant information is vital to its efficient and effective management. The University therefore values its records, archives and information therein as corporate assets. A good record keeping program is therefore fundamental to its commitment to administrative transparency and accountability. It will enable the University to account for decisions and actions by providing essential evidence in the form of records and ensure the preservation of its collective memory.

2.4 Policy Objectives

2.4.1 To Support continuity and consistency in management and administration
2.4.2 To create, use and preserve records for operational functions of the University.
2.4.3 To maintain and retain records as evidence for future use.
2.4.4 To inculcate good record management practices.
2.4.5 To protect records for quality assurance and performance contracting.
2.4.6 To provide an audit trail of records movement to meet academic, regulatory and legal requirements;
2.4.7 To identify and dispose archival records.
2.4.8 To enhance records retrieval, use and service delivery to customers.
2.4.9 To protect the rights of employees, students, regulated entities and the general public
2.4.10 To make sure that Daystar University is open and responsive, as set out in its Mission, Vision and Core Values

2.5 Policy Statement

Daystar University is committed to effective and efficient management of its records and archives. The University shall be guided by the best practices in records management to:

2.5.1 Create and manage all records and thereafter all archives efficiently; making them accessible when needed, while protecting and storing them securely and dispose of them safely and legally at the appropriate time.
2.5.2 Comply with all relevant legislation and aim to achieve standards of best practice in records and archives management. This will include adopting principles from such recognized bodies as the International Organization for Standardization (ISO 15489), the National Archives and Records Administration (NARA) and the British Standards Institute (BSI).
2.5.3 Encourage all staff to manage records properly and shall endeavor to equip them with the necessary knowledge and skills.
2.5.4 Provide supporting standards, procedures and guidelines; then state how compliance will be monitored.
2.5.5 Review this policy regularly to ensure it remains relevant.

2.6 Scope

2.6.1 Record Formats

This policy and the standards apply to the management of records, in all technical or physical formats or media, created or received by Daystar University while carrying out its academic, training and research functions; and any related business activities.

Although not an exhaustive list, examples of items that shall be considered as records include:

2.6.1.1 Documents (including written and typed documents and annotated copies);
2.6.1.2 Paper based files;
2.6.1.3 Computer files (including word processed documents, databases, spreadsheets and presentations);
2.6.1.4 Electronic mail messages (email);
2.6.1.5 Diaries;
2.6.1.6 Faxes;
2.6.1.7 Brochures and reports;
2.6.1.8 Intranet and internet web pages;
2.6.1.9 Forms;
2.6.1.10 Seized evidence;
2.6.1.11 Audio and video tapes;
2.6.1.12 Microfiche and microfilm;
2.6.1.13 Maps and plans; and
2.6.1.14 Photographs

2.6.2 Registries

This policy establishes three university registries to cater for the records and archives management needs of Daystar University as follows:

2.6.2.1 Confidential Registry to house all sensitive records relating to the existence and leadership of Daystar University
2.6.2.2 Academic Registry to house all records regarding students’ academic and personal records.
2.6.2.3 Central Registry to house all staff and administrative records of Daystar University

2.6.3 Staff

This policy and the standards apply to all permanent and temporary employees, contractors, consultants and secondees who have access to Daystar University records, wherever these records are and whatever form they exist in.

2.7 Legal, Regulatory environment and Policy Framework

Daystar University works in a regulatory environment influenced by many factors:
a) Statutes, laws and regulations that govern academic and work environment; these include, but are not limited to:

2.7.1 Companies Act (Cap 486)
2.7.2 Copyright Act (Cap 130-2003)
2.7.3 Data Protection Bill, 2012
2.7.4 Education Act (Cap 211-1968)
2.7.5 Freedom of Information Bill (Article 35-2010)
2.7.6 Public Archives & Documentation Services Act (Cap 19-2002)

b) Statutes, laws and regulations borrowed from Kenya’s present and future association with other countries; these include and are not limited to:

2.7.7 Commonwealth Archives Act 1983
2.7.8 Commonwealth Privacy Amendment (Private Sector) Act 2000

c) Mandatory standards of practice and requirements as in the University Charter.

d) Voluntary codes of best practice in Records and Archives Management;

e) Voluntary codes of conduct and ethics, which include, but are not limited to:

2.7.9 Daystar University Vision, Mission, Objectives and Core Values; and
2.7.10 Daystar University Code of Conduct

f) The expectations of the stakeholders and the community at large about what constitutes acceptable behavior for Daystar University.

PART C: ROLES AND RESPONSIBILITIES

3.1. Introduction

Daystar University owns all records created by employees carrying out its academic, teaching, research and related activities. Unless the originator keeps ownership (copies of which shall be required), records received by university employees are also owned by the university. Individual employees do not own records; they only have responsibilities for managing them.

3.2. Executive responsibility

3.2.1 The Vice-Chancellor

The Vice Chancellor shall have executive responsibility for the management of records management through a standing Records and Archives Management Committee. In his Role the Vice Chancellor shall:

3.2.1.1 Appoint an officer to be the Archivist who shall oversee the records management practices of Daystar University
3.2.1.2 Appoint members of the Records Management Policy Implementation Committee.

3.2.2 Records and Archives Management Committee

The Records and Archives Management Committee shall consist of a Chairperson, the Archivist as the secretary and five other members of staff appointed by the VC.

This Committee shall meet at least once a Semester to:
3.2.2.1 Implement this policy and require each employee to support its values and principles.
3.2.2.2 Account for the record keeping and records management systems, procedures and practices of Daystar University
3.2.2.3 Initiate and implement new ideas and review the progress and development of the Archives and Records Centre.
3.2.2.4 Ensure that sound record management practices are implemented, maintained and improved for effective service delivery.

The Committee shall play an advisory role to the Records Manager, top Management, and HoDs in best practices in records management.

3.3 Managers

Management-level staff (Registrar, Dean, Director and Head of Department) will be responsible for:

3.3.1 Implementing and maintaining sound record keeping practices within their respective administrative units.
3.3.2 Ensuring that local procedures are in place and that records management; including review, file tracking, destruction is carried out in accordance with the set procedures.
3.3.4 Ensuring that records are created, maintained and stored in accordance with the standards outlined in this policy, and that no records are destroyed except as authorised by the Retention and Disposal Schedule or Normal Administrative Practice

3.4 The Archivist

The Archivist shall:

3.4.1 Work with all the University administrative and academic offices to ensure that the records received or generated are regularly surveyed, inventoried and appraised to determine their retention periods.
3.4.2 Be in constant touch with the designate Record Coordinators in all administrative and academic offices who act as Liaisons officers to ensure that records in those offices are well managed.
3.4.3 Ensure the records and archives management policy and standards are updated to remain relevant to the needs and obligations of the university.
3.4.4 Appraise inactive records for the possible inclusion in the permanent Record Management Centre
3.4.5 Ensure that the retention periods for University records for the administrative offices are outlined in the general Record Retention Schedules.
3.4.6 Strategically plan and budget for the Archives and Record Centre
3.4.7 Train and supervise Staff in Archives and Record Centre
3.4.8 Engage in cataloguing, classification and organization of the records to enable access to the Users
3.4.9 Ensure that privacy and confidentiality of some of the University records are observed
3.4.10 Ensure that the records are stored in appropriate and recommended facilities
3.4.11 Advise the Top Management on the best record management practices and systems.
3.4.12 Arrange training for staff on records management and create awareness of legislative and statutory requirements in regard to record keeping and management.
3.4.13 Give records and archives management advice and guidance to all concerned and/or interested departments of Daystar University.
3.4.14 Seek decisions on the management of records for which there is no clear core business activity/unit responsibility, for example records for entities that are no longer part of Daystar University.

3.5 Corporate Affairs Manager

The Corporate Affairs Manager shall be responsible for:

3.5.1 Approval of external requests to access University records and information.
3.5.2 Informing the Records Manager of all requests to access University records.

3.6 Information Communication Technology Manager

The ICT Manager shall:

3.6.1 Maintain all electronic systems and procedures that create, preserve and store University records.
3.6.2 Work in conjunction with the Archivist to ensure that electronic records are properly used, maintained, securely protected and preserved.
3.6.3 Work in conjunction with the Archivist to ensure that back-up records and information are stored in a protected off-site unit.
3.6.4 Perform any other duties as specified in the Daystar University Automation Policy in relation to electronic records management.

3.7 Security Manager

3.7.1 The Security Manager shall ensure the physical security of all University records.

3.8 Registry Staff

The staff in registries shall:

3.8.1 Ensure effective storage, protection and retrieval of records.
3.8.2 Ensure that records are well maintained.
3.8.3 Implement an efficient records filing system.
3.8.4 Facilitate easy retrieval of records.
3.8.5 Maintain records movement register.
3.8.6 Create an up-to-date reference system.
3.8.7 Receive, sort and classify all incoming mail.
3.8.8 Ensure security of information, documents and files.
3.8.9 Create new records and classify them as appropriate.
3.8.10 Offer technical support to University staff on records management.

3.9 Individual staff members

3.9.1 Every member of staff will be responsible for making and keeping such records as may be necessary to fully and accurately record the functions, activities, transactions, operations, policies, decisions, procedures, affairs, administration and management of Daystar University.
3.9.2 Every member of staff will follow authorized procedures in carrying out records management functions, and must observe security, privacy and confidentiality requirements at all times, in accordance with the University’s Privacy Statement.
3.9.3 Every member of staff will handle records sensibly and with care and respect so as to prolong their life-span and avoid damage. Smoking, eating and drinking will not be allowed near or in any records storage areas.
3.9.4 Every member of staff who creates or receives records shall be responsible for following the DAYSTAR UNIVERSITY Records and Archives Management Procedures.

PART D: POLICY STANDARDS AND GUIDELINES

4.1 DUA/STD/001: Record

Description: A record shall be defined as ‘information created, received and maintained as evidence and/or information by an organization or person, in pursuance of legal obligations or in the transaction of day to day business.’

Standards

4.1.1 A record shall correctly reflect what was communicated or decided or what action was taken.
4.1.2 A record should support the needs of (have a useful purpose in) the academic activity or business to which it relates and be used for accountability purposes.

4.2 DUA/STD/002: Deciding what is a Record

Description: To decide whether something is a record, employees will look at it in the context of:

4.2.1 The regulatory environment;
4.2.2 Academic, business and accountability requirements; and
4.2.3 The risk of keeping and not keeping it

Standard

Items will be captured as records and linked with metadata which characterize:

4.2.4 Their specific business context when they commit someone to do something;
4.2.5 Give them responsibility for something; or
4.2.6 Record something that has happened.

4.3 DUA/STD/003: Authenticity of a Record

Description: An authentic record is one that can be proven to:

a) Be what it claims to be;
b) Have been created or sent by the person said to have created or sent it;
c) Have been created or sent at the time claimed;
d) Have not been tampered with; and

e) Be credible and authoritative so that evidence can be safely derived from it

Standards

4.3.1 Each department shall set up and document procedures that control the creation, receipt, transmission, maintenance and disposition of records.
4.3.2 Each department shall ensure that record creators are authorized and identified
4.3.3 Each department shall ensure that records are protected against unauthorized addition, deletion, alteration, use and concealment.

4.4 DUA/STD/004: Reliability of a Record

Description: A reliable record is one whose contents can be trusted as a full and accurate representation of the transactions, activities or facts they concern and can be depended on in subsequent transactions or activities.

Standards

4.4.1 Records shall be created at the time of the transaction or activity to which they relate, or soon afterwards.
4.4.2 Records shall be created by individuals who have direct knowledge of the facts or by systems routinely used within the business to complete a transaction or activity.

4.5 DUA/STD/005: Integrity of a Record

Description: The integrity of a record refers to its being complete and unaltered.

Standards

4.5.1 Records shall be protected against unauthorized alteration.
4.5.2 Departmental records management procedures shall specify what additions or annotations may be made to a record after it is created, under what circumstances additions, or annotations may be authorized, and who is authorized to make them.
4.5.3 Any authorized annotation, addition or deletion to a record shall be explicitly indicated and traceable.

4.6 DUA/STD/006: Usability of a Record

Description: A useable record is one that can be located, retrieved, presented and interpreted.

Standards

4.6.1 A record shall be capable of subsequent presentation as directly connected to the activity or transaction that produced it.
4.6.2 The contextual linkages of records shall carry the information needed for an understanding of the activity that created and used them.
4.6.3 It will be possible to identify a record within the context of broader business activities and functions.
4.6.4 The links between records that document a sequence of activities will be maintained.
4.6.5 Records will be arranged in a record keeping system in accordance with local procedures based on Daystar University RMP

4.6.6 This policy proposes adoption of **Alpha-numeric** types of registered file referencing for all records of Daystar University

4.7 DUA/STD/007: Emails

4.7.1 Official E-mails form part of the corporate record and will treated in the same way as any other form of communication that can be recorded.

4.7.2 All Daystar University staff are responsible for identifying and managing emails that constitute a record of their work.

4.7.3 It shall be the responsibility of all members of staff to manage their emails appropriately in order to comply with present statutes and expected future legislation such as the Freedom of Information Bill of 2010 and Data Protection Bill of 2012.

4.7.4 Staff will be made aware that emails can be used as evidence in legal proceedings and may be released to the public in the event of such matters arising.

4.7.5 Items that are not records, for example authorized personal emails shall not be placed in the Daystar University record keeping systems and shall be disposed of as soon as possible.

4.7.6 Ephemeral emails shall be managed within the individual's mailbox and kept for only as long as required before being deleted.

4.7.7 If an email needs to be forwarded for information purposes it shall be considered as a record. As emails can be sent to multiple recipients the following guidelines shall be followed to identify who is responsible for capturing an email as a record:

- For internal messages, the sender of an email, or initiator of an email dialogue that forms a string of emails
- For messages sent externally, the sender of the email
- For external messages received by one person, the recipient
- For external messages received by more than one person, the person responsible for the area of work relating to the message.

4.8 DUA/STD/008: Version Control

*Description:* Successive drafts of a document must be kept to provide adequate evidence of the process or activity undertaken for example substantial changes during the development of policy.

*Standard*

The need to keep successive versions of items shall be based on an analysis of record keeping requirements and shall be documented in local procedures.

4.9 DUA/STD/009: Records Capture

*Description:* All record shall be placed in a records management system in order to:
4.9.1 Establish a relationship between the record, the creator and the context of the activity that originated it (that is, why it was created);
4.9.2 Place the record and its relationship within a records system;
4.9.3 Link it to other records; and
4.9.4 Ensure that appropriate audit trails are maintained

Techniques to ensure capture of records include:

4.9.5 Classification and indexing which allow appropriate linking, grouping, naming, security protection, user permissions and retrieval, disposition, and identifying vital records
4.9.6 Arrangement in a logical structure and sequence, whether a physical (paper) file or an electronic directory, which helps with further use and reference
4.9.7 Registration which provides evidence of the existence of records in a records system; and
4.9.8 Systems that control the actions undertaken in doing business, which:
   - Provide metadata describing the business context;
   - Provide evidence of where a record is located;
   - Identify what action is outstanding;
   - Identify who has accessed a record;
   - Identify when such access took place; and
   - Provide evidence of the transactions that have been undertaken on the record (in other words an audit trail).

Standards

4.9.9 Items that have been identified as records must be captured in recognized Daystar University record keeping systems.
4.9.10 Emails that constitute records must be captured (saved) on the central storage area, in Message Format (*.msg) and put into folders with other records relating to the same academic/business activity. The original email shall be deleted from the personal mail box that it came from.
4.9.11 Where paper files are maintained, it may be more appropriate to place a copy of the email on that file. Local procedures shall make that clear.

4.10 DUA/STD/010: Registering Records

Description: Registration of records shall provide evidence that a record has been created or captured in a records system.

Standards
4.10.1 A record is registered when it is captured into the records system (this may include placing a manual record into a structured filing system or the automated registration of electronic records in an electronic record keeping system); and

4.10.2 No further processes affecting the record can take place until its registration is complete.

4.10.3 Registration shall involve recording brief descriptive information or metadata about the record, and assigning the record a unique identifier.

4.10.4 Records may be registered at more than one level (for example at the file series, file or record level) within a records system.

4.10.5 The level at which a record needs to be registered, i.e. at the file or record level, shall be decided by the need to provide evidence of its authenticity.

4.11 DUA/STD/011: Subject Classification

_Description:_ Subject classification is based on an analysis of Daystar University academic, research and other business activities. These systems can be used to support various records management processes.

Subject classification of records, based on either academic or business activity will help in:

4.11.1 Providing links between individual records we collect for a continuous record of activity;
4.11.2 Making sure records are named consistently over time;
4.11.3 Helping in the retrieval of all records about a particular function or activity;
4.11.4 Deciding security protection and appropriate access for sets of records;
4.11.5 Allocating user permissions for access to or action on particular groups of records;
4.11.6 Distributing responsibility for management of particular sets of records;
4.11.7 Distributing records for action; and
4.11.8 Deciding appropriate retention periods and disposition actions for records.

_Standard_

Metadata describing the subject content shall be linked with records at the appropriate level (i.e. file series, file or record level) to meet the anticipated retrieval needs.

4.12 DUA/STD/012: Records/Archives Coding and Indexing

_Coding Description:_ Shorthand methods of referencing records by means other than the title to aid in locating and retrieving them.

_Index Description:_ An index will give the user an efficient means of tracing information. An index or indices shall allow the user to:
4.12.1 Understand it easily, enabling them (and their successors) to quickly establish the presence or absence of information on a given subject;
4.12.2 Identify and locate relevant information within records;
4.12.3 Group together information on subjects; and search for information using indexing terms that are appropriate to their needs.

4.13 DUA/STD/013: Records Retention

Description: The length to keep a record shall be decided by assessing:
4.14.1 The statutory and regulatory environment;
4.14.2 Academic, business and accountability requirements; and
4.14.3 The risks associated with keeping or disposing of the record at any particular point in time.
4.14.4 The rights and interests of all stakeholders when deciding how long records need to be maintained. The decisions shall not be made to get round any rights of access.

Records identified for retention are likely to be those which:
4.14.5 Provide evidence and information about our policies and actions;
4.14.6 Provide evidence and information about our interaction with stakeholders;
4.14.7 Document the rights and obligations of individuals and organizations;
4.14.8 Contribute to the Daystar University’s historical record; and
4.14.9 Contain evidence and information about activities of interest to internal and external stakeholders.

Standards

Records shall be kept to:
4.14.10 Meet current and future academic, research and business needs;
4.14.11 Comply with statutory, legal and corporate governance best practice requirements, by ensuring that the way we manage records is documented, understood and implemented; and
4.14.12 Reasonably meets the current and future needs of internal and external stakeholders.
4.14.13 Records that are no longer required shall be eliminated as early as possible and in an authorized, systematic manner.
4.14.14 Departments shall create and maintain retention schedules. Retention schedules shall state how long each record series shall be kept and the justification for these periods.

Records authorized for disposal must be destroyed safely and securely, ensuring the information cannot be reconstructed.
4.14 DUA/STD/014: Records Storage

*Description:* Staff will consider the specific physical properties of records to decide how to store and handle them. Records that continue to be useful and relevant, no matter what format they are in, need appropriate storage and handling to preserve them as Archives.

*Standards*

4.14.1 Storage conditions and handling processes shall be designed to protect records from unauthorized access, loss or destruction, and from theft and disaster.

4.14.2 Records shall be stored on media that ensure their usability, reliability, authenticity and preservation for as long as they are needed.

4.14.3 Systems for electronic records shall be designed so that records are accessible, authentic, reliable and useable through any kind of system change, for as long as they are kept. This may include transfer to different software, formats or any other future ways of re-presenting records. Where such processes occur, evidence of these shall be kept, along with details of any variation in records design and format.

4.15 DUA/STD/015: Records Access and Security

*Description:* The regulatory environment sets the broad principles on access rights, conditions or restrictions that shall be incorporated into the records systems. These shall consider legislation covering areas such as privacy, data protection, security, and freedom of information.

Restricted records shall be identified as such, only where specifically required by an academic need, a business need or the regulatory environment. *Restrictions shall be imposed for a stated period, to ensure that the additional monitoring required for these records is not enforced for longer than needed.*

Managing the access process involves ensuring that:

4.15.1 Records are categorized according to their access status at a particular time;

4.15.2 Records are only released to those who are authorized to see them;

4.15.3 Encrypted records can be read as and when required and authorized;

4.15.4 Records processes and transactions are only undertaken by those authorized to perform them; and

4.15.5 Parts of the organization with responsibility for particular business functions specify access permissions to records relating to their area of responsibility.

The monitoring and mapping of user permissions and functional job responsibilities will be a continuing process in all records systems regardless of format.

4.16 DUA/STD/016: Records Disposition

*Description:* Disposition is the process of deciding whether to keep, move or destroy records. This process is governed by disposition authorities (or retention schedules).
These govern the removal of records from operational systems and they shall be used on a systematic and routine basis. No ‘disposition action’ shall take place without the assurance that:

4.16.1 The record is no longer required;
4.16.2 No work is outstanding; and
4.16.3 No litigation, investigation or access request is current or pending which is relying on that record.

‘Disposition action’ is the:

4.16.4 Immediate physical destruction, including overwriting and deletion;
4.16.5 Retention for a further period within the department;
4.16.6 Transfer to an appropriate storage area or medium under departmental control;
4.16.7 Transfer to a storage area managed for Daystar University by an external provider where appropriate contractual arrangements have been entered into;
4.16.8 Transfer of records (where necessary) to an external archive, for example The Kenya National Archive.

Standards

4.16.9 Retention schedules must clearly state the retention period of each type of record captured by the departments.
4.16.10 The date the retention periods starts shall be clear and procedures and system(s) shall be put in place to ensure records are reviewed on a specified review date.
4.16.11 Through the review process records shall be:
   ➢ Retained for a further specified period
   ➢ Appraised for archival storage if records are selected for permanent preservation
   ➢ Destroyed

4.16.12 Destruction must always be authorized. The records shall only be destroyed by authorized staff in accordance with the business unit's retention and disposal schedules.
4.16.13 Records relevant to pending or actual litigation, investigation or access requests must not be destroyed.
4.16.14 Authorized records destruction shall be carried out in a way that preserves the confidentiality of any information they contain.
4.16.15 All copies that are authorized for destruction, including security copies, preservation copies and backup copies, shall be destroyed.
4.16.16 A record shall be held of which items have been eliminated/destroyed (disposal schedule), together with the appropriate authorizations.
4.16.17 The records of the University shall be destroyed in accordance with the following existing laws and regulations,
   ➢ The Public Archives and Documentation Service Act (Cap 19)
   ➢ The Public Procurement and Disposal Act, 2003
   ➢ Records retention and disposal schedule of the University – (covering all forms and categories of records).
Any other relevant statute of the Republic of Kenya

Destruction of valueless records shall be witnessed and certified by the Records Manager in consultation and approval by the Vice Chancellor. Valueless records shall be destroyed through: shredding, pulping or incineration.

4.17 DUA/STD/017: Acquisition of Archives

The Archives shall ensure preservation of its institutional memory in pursuance of its legal obligations or in the transaction of business through:

The Archivist and the staff of Archives and Records Management Centre shall be actively involved in seeking, identifying and acquiring records that qualify for permanent preservation in the archives.

Such records shall include the following:

4.17.1 Credentials based records: Students admission policy, applications received, selected students, registered students, personal files of students, enrollment reports, financial aid policy, scholarships and awards available, students awarded degrees, Masters or doctoral theses passed, photographs of graduations and videos of graduation ceremonies

4.17.2 Knowledge based records: Curriculum of the courses run, courses modules, list of the teaching staff and non-teaching staff, teaching responsibilities, courses run by the unit, time table and class venues, class lists, student examination policy, staff evaluation policy, all forms evaluation either lecturers by students or by their peers, examination questions, samples of assignments given, attendance lists

4.17.3 Research based records: Research proposals submitted, proposals accepted, research grants management and annual reports of research output

4.17.4 Institutions internal missions based records: Mission statements, management board minutes, Senate board minutes, Council Board minutes, Schools and Departmental minutes and strategic plans, reports, organizational charts of schools, expenditure records, audit reports, personnel policy, current employment regulations, staff recruitment, performance appraisals, outside earnings, staff development and training, current space use and planning, architectural drawings of buildings, facilities maintenance and staff recruitments

4.17.5 Public service based records: Continuing education programmes, consultation and other services, research services available, projects undertaken and short courses offered outside the University. The above collections may also include the personal and professional papers of prominent people associated with the University, including University officers, faculty, Students, Alumni and Benefactors.

4.17.6 Donated Records: Records donated to the Archives shall become property of the University
4.18 DUA/STD/018: Acquisition Guidelines

4.18.1 All University academic and administrative offices will work with the Archivist to ensure smooth and effective management of records from the office of origin to the records center and archives.

4.18.2 Record Retention and disposal schedules shall be prepared showing the maximum period the record should be kept. The schedule shall be based on the value of the record and in accordance with the existing Kenyan statutory laws.

4.18.3 Preparation of schedules is the responsibility of the Archivist in consultation with the Archives and Records Management Committee.

4.18.4 Before this activity can be carried out, records have to be appraised to determine their value. In the process, records creators and users, particularly those with the requisite expertise in financial and legal matters, are consulted if there are any doubts or concerns that the proposed retention periods and final disposition do not satisfy all financial and legal requirements.

4.18.5 Each office shall designate a Records Coordinator to act as a liaison officer with University Archives in all record dealings.

4.18.6 The designated Records Coordinator in consultation with his or her respective Head of Division, Dean, Head of Department, Director of Centre/Institute or other established authority shall maintain all the records in their respective functions, review and recommend them for movement to the archives/records centre in accordance to the records retention and disposal procedures.

4.18.7 Each academic and administrative office shall identify as vital records those records that are key to its operations for final preservation in the archives.

4.18.8 All active records are responsibility of the office of origin regarding both physical and intellectual control.

4.18.9 University records may not be destroyed or placed in an inactive storage other than the designated Records Centre without the joint consent of the senior officer in the office of the origin and the Archivist. Such actions shall be undertaken with the approval the Archives and Records Management Committee who shall make final decision.

4.18.10 All inactive records scheduled for destruction shall be transferred to Records Centre for temporary storage before they are finally destroyed according the date shown on the schedule. During this period the office of origin shall be responsible for such records.

4.18.11 The Archivist has the sole responsibility to appraise inactive records for possible inclusion in the Archives in consultation with the executive committee.

4.18.12 Any unauthorized destruction of Daystar University records by a member of staff, employee, students or any other persons acting on behalf of the university shall be liable to disciplinary action in accordance to the laws established and as per the established statutory laws (Laws of Kenya; Public Archives and Documentation services Act (cap 19-2002))
PART E: GENERAL PROVISIONS

5.1. Compliance with the Records and Archives Management Policy

5.1.1 All employees are expected to strictly adhere to the requirements of this policy without exception as they discharge their duties and responsibilities.

5.1.2 Failure to follow the Policy and the associated procedures and instructions will lead to disciplinary actions which may result in dismissal.

5.1.3 Any claim of ignorance as to the existence and/or application of this Policy shall not be a ground for justification of non-compliance.

5.1.4 Any uncertainty as to the provisions of this Policy or any clarification shall be directed to the Archivist.

5.2. Monitoring, Evaluation and Review

5.2.1 The Archivist and the Records Management Policy Implementation Committee shall monitor the records management procedures and practices in Daystar University.

5.2.2 The Archivist shall review the policy, record-keeping and management practices of Daystar University on a regular basis and shall adapt them appropriately to ensure that they meet the service delivery requirements of Daystar University.

5.2.3 Adherence to this Policy shall be reviewed annually.

5.3. Implementation of the Policy

5.3.1 The Vice Chancellor shall appoint a committee to implement this Policy.

5.3.2 It is the responsibility of every member of Daystar University to participate in the implementation of this Policy.

5.3.3 This Policy supersedes any other related policies that were in force before the promulgation of this Policy with effect from the date on which the Daystar University Council endorses this Policy.

5.4. Authorization

This Policy was approved by DAYSTAR UNIVERSITY Council on [date]: __/__/__

Origination Date: __/__/__

Last Amended Date: __/__/__

Next Review: __/__/__
PART E: REFERENCES AND LINKS

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