



**JARAMOGI OGINGA ODINGA UNIVERSITY
OF SCIENCE AND TECHNOLOGY**

**RECORDS RETENTION AND DISPOSAL POLICY
AND PROCEDURE**

FEBRUARY, 2016

JARAMOGI OGINGA ODINGA UNIVERSITY OF SCIENCE AND TECHNOLOGY

RECORDS RETENTION AND DISPOSAL POLICY AND PROCEDURES, 2016

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Policy Title: Records Retention and Disposal Policy and Procedures

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Policy Contact: Deputy Vice Chancellor
(Planning, Administration and Finance)

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15th April 2016

Signed:

Vice-Chancellor and Secretary to Council
Prof. Stephen G. Agong'

Date



15th April 2016

Chairman of Council
Dr. Bonface J. Mwandotto

Date

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ABBREVIATIONS AND ACRONYMS

DVC (PAF)	Deputy Vice-Chancellor, Planning, Administration and Finance
JOUST	Jaramogi Oginga Odinga University of Science and Technology
R (PA)	Registrar, Planning and Administration.
VC	Vice-Chancellor

DEFINITION OF TERMS

Access:	Right, opportunity, means of finding, using or retrieving information from records and archives (ISO 15489)
Archive:	The whole body of records of continuing value of an organization or institution sometimes called ‘corporate memory’
Archives:	Those records that are appraised as having continuing value
Classification Scheme:	Systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system
Disposal policy:	This is a policy that directs the disposal of records.
Non – current records:	These are records which are rarely needed by the office of origin to conduct current business.
Retention Period:	Period of time that records should be retained in their offices of origin or in records centers before they are transferred to the Archives for preservation or otherwise destroyed.
Records:	Information created or received and maintained by an agency, organization or individual in pursuance of legal obligations or in the transaction of business.
Records Management:	The systematic control of all records from their creation or receipt through processing, retrieval, distribution and use, to their ultimate preservation and disposal.
Retention Schedule:	A control document describing the records of an organization establishing retention periods and providing legal authorization for their disposal.
University:	Jaramogi Oginga Odinga University of Science and Technology

Council: JOOUST Council

1.0 Introduction

The University acknowledges that information is a corporate asset and management and disposal of records is critical for efficient and effective operation of the institution for the purposes of accountability and awareness. Properly managed information is essential for ensuring that records of vital historical, fiscal and legal values are identified and preserved.

This policy shall be implemented with reference to the following Acts, regulations and guidelines: Constitution of Kenya 2010, Records Disposal Act, Public Officer Ethics Act, 2003, Kenya Information and Communication Act, No. 2 of 1998 (Revised 2009) and Freedom of Information 2007 among others.

This policy covers the purpose, policy statement, scope, overall and specific policy objectives; roles and responsibilities of key persons. The policy also provides a framework for implementation, overall responsibility and policy review.

2.0 Purpose

To provide a framework for managing the University's records and to establish accountabilities as well as ensure that University record keeping practices comply with legal and regulatory requirements

3.0 Policy Statement

JOOUST is committed to creating, keeping and managing its records in a manner that accurately documents its activities.

4.0 Scope

This policy applies to all staff of the University.

5.0 Policy Objectives

The overall aim of the policy is to ensure the integrity, confidentiality and availability of records.

Specific Objectives include to:

- (i) Support continuity and consistency in management and administration of records
- (ii) Enhance records retrieval, use and service delivery to clients
- (iii) Create and capture authentic and reliable records to demonstrate evidence, accountability and information about its decisions and activities

- (iv) Maintain and preserve access to records
- (vi) Meet legal record-keeping requirements, including the Data Protection Act 1998 and the Freedom of Information Act 2000
- (v) Identify and preserves securely those records deemed worthy of permanent preservation.
- (vi) Protect vital records, which the University needs in order to function effectively

6.0 Role and Responsibilities

The University Council, the Vice-chancellor, Deputy Vice-Chancellor (Planning Administration and Finance), Heads of departments and the employees have various roles and responsibility to play to ensure successful implementation of the policy as indicated below:

6.1 University Council

The Council shall demonstrate commitment to ensure implementation of the policy through:

- (i) Approval of the policy for implementation

6.2 Vice-Chancellor

The Vice-Chancellor shall support and recommend the policy to Council for approval;

6.3 Deputy Vice-Chancellor (PAF)

The DVC (PAF) shall:

- (i) Ensure compliance with records management policy and procedures; provide advice on the establishment of records systems or controls.
- (ii) Ensure that HoDs and employees are aware of the policy and adhere to it.

6.4 Heads of Department

Responsible for ensuring that records management within their area is in line with university policy, guidelines and procedures.

6.5 Employees

Employees shall familiarize themselves with the policy and applicable procedures

7.0 Guiding Principles

Records must:

- (i) Prove what they purport to be.
- (ii) Accurately reflect the transactions that they document.
- (iii) Be readily available when needed.
- (iv) Document the complete range of the University's business.
- (v) Comply with any record keeping requirements resulting from legislation, audit rules and other relevant regulations.
- (vi) Be maintained for specific purposes and the information contained in them must meet those purposes.
- (vii) Be securely maintained to prevent unauthorized access, alteration, damage or removal.

8.0 Security of Records

- (i) Records shall be protected from mishandling, damage and unauthorized access
- (ii) Records shall be protected by appropriate methods as outlined in this procedure.
- (iii) HoDs shall ensure that all records in their respective departments are stored and protected from unauthorized access and removal.
- (iv) Confidential records i.e Human Resource and Personnel files shall be accessed only by authorized officers and stored in locations such as offices with controlled access.
- (v) Where lockable cabinets are used, only authorized personnel shall have access to the cabinets.
- (vi) Records maintained in the computer system shall have backup as hard copies or in external electronic devices e.g. hard drives, discs, chips etc, and shall be protected from unauthorized access by use of passwords.
- (vii) The University Business Continuity Plan shall guide in the protection of all records , identify and give special attention to vital records that could be used for continuity of business in the event of a disaster.
- (viii) Security of archival materials shall be enhanced through use of modern preservation methods and technology – including digitization and microfilming.

9.0 Legibility and amendment of records

- (i) Records entries shall be filled in indelible ink and the writing shall be unchangeable.
- (ii) In the event of a mistake where an entry needs amendment, the alteration shall be done in a way that the original writing is legible.
- (iii) The alteration shall be signed and dated by the person authorized to make the

amendment.

- (iv) The use of whiteout or correction ink **SHALL NOT** be allowed.
- (v) Records shall be kept clean and when not in use, stored in the appropriate files, folders or trays.

10.0 Closed Records

- (i) Where records have exceeded their retention period, they shall be appropriately filed, labelled and identified as “**CLOSED FILES**” and shall be stored in identified places.
- (ii) HoDs or other nominees shall index these records by type, month and year and electronically backup these records.

11.0 Disposal Programs

- (i) Disposal should be done as an on-going program, rather than as a one-off project.
- (ii) HoDs are responsible for ensuring regular and systematic disposal of records in their areas in accordance with legal requirements.
- (iii) Permanent records are transferred to the University Archives (records management centre) regularly.
- (iv) Records disposal can be built into work processes of the area and be included in work planning rather than being a separate exercise.

12.0 Methods of Records disposal

The following methods of records disposal shall apply:

- (i) Shredding
- (ii) Burning
- (iii) Transfer to Archive
- (iv) Pulping
- (v) Purging
- (vi) Selling them to vendors for recycling

13.0 Implementation

The overall responsibility and effective implementation of this policy shall be vested in the office of the Deputy Vice-Chancellor (PAF)

14.0 Effective Date

This policy takes effect upon the date of approval by the University Council.

15.0 Review

The Policy shall be reviewed after every three (3) years for suitability and/or as the need arises.