MAASAI MARA UNIVERSITY

RECORDS AND INFORMATION MANAGEMENT POLICY

Policy No.	MMU/RAD/P04
Version	01
Principal Responsibility	Registrar Administration
Effective Date	15th January, 2018

Policy Approval

This policy shall be known as the Records and Information Management Policy of Maasai Mara University (herein after referred to as "the Policy") which shall take effect on the date of approval by the University Council.

In exercise of the powers conferred by Statute 17 (2d) of Maasai Mara University, section 35(1) (a) (iii) of the Universities Act No. 42 of 2012 and section 19 of the Charter for Maasai Mara University 2013, Maasai Mara University Council affirms that this Policy has been made in accordance with all relevant legislations.

Dated the …… day of …….2018

Signed: ……

Dr. Samuel Agonda Ochola, PhD

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Foreword

Information is a corporate asset and the records of University are important sources of administrative, evidential and historical information. They are vital to the organization in its current and future programme operations, for the purposes of accountability, and for an awareness and understanding of its history and procedures. They form part of the corporate memory of the organization.

The University requires that its records be managed in a systematic and logical manner according to plans developed by the schools and divisions. This policy ensures operational needs and legal requirements for record retention and privacy protection, optimizing the use of space, minimizing the cost of record retention, and proper disposal of outdated records.

The University shall create, use, manage and destroy or preserve its records in accordance with the statutory requirements. The management of the records and information of the University shall be carried out in compliance with the Universities Act 2012, University statutes, rules and regulations that may be issued by the University Management in accordance to ISO 9001:2015 Standards and the Government of the Republic of Kenya.

Prof. Mary K. Walingo, PhD, MKNAS, EBS

Vice – Chancellor

Definition of Terms

"Active Records" - Files needed to support the current business activity of a department. The active period may be determined by record category

"Archives" - A section of the University which is responsible for facilitating the identification, management, preservation of and access to the University's archives. It is also responsible for promoting the use of the University's archival resources.

"Disposal" - the process of changing the disposition of a record. Disposal can mean preserving a record as an archive or the destruction of a temporary record. It can also refer to a change in the record's custody (for example, transferring the record offsite or to Archives).

"Inactive Records" - Files for which the active periods have passed and are being held for the remainder of the specified retention period. May be located in a storage area or managed electronically.

"Records" - documents that facilitate the business carried out by the University and which are retained for a set period to provide evidence of its transactions or activities. These records may be created, received or maintained in any format or medium, in any location and on any device.

"Records Management" – is the purpose of controlling and managing records as a key asset within a comprehensive regime made up of policies, procedures, systems, processes and behaviour. Together they ensure that reliable evidence of actions and decisions are kept and remain available for reference and use when needed.

"Retention Period" - The length of time a record must be kept to meet administrative, fiscal, legal or historical requirements.

"Retention Schedule" - A listing of retention periods for University records

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1. Introduction

Maasai Mara University is a successor of the then Narok University College which was established as a University College of Moi University in 2008. The university is located within Narok County. It attained full University status following the enactment of the University's Act, 2012 and the award of the charter on 12th February 2013 from which it draws its mandate. The University now operates five Schools namely: School of Science and Information Sciences, School of Education, School of Business and Economics, School of Tourism and Natural Resource Management and the School of Arts and Social Sciences..

1.1 Vision, Mission and Core

Vision

To be a world class university committed to academic excellence for development

Mission

To provide Quality University education through innovative teaching, research and consultancy services for development

Core Values

Excellence

Team Work

Professionalism

Equity and Social Justice

Creativity and Innovativeness

Transparency and Accountability

2. Purpose

This policy provides the necessary framework to ensure that the University creates, captures and manages its corporate information in a way that complies with relevant legislation and that supports efficiency and effectiveness in the performance of its various functions. The policy

outlines principles for effective data, information and records management throughout the information lifecycle, and the related authorities and responsibilities of staff.

The information that University records contain serves as evidence of functions executed and activities performed, and comprises a valuable source of knowledge as to how and why decisions are taken. Given that good quality records are of value to any organization, their effective management is necessary to ensure that the records maintained are authentic, reliable, and complete. This policy shall ensure that records are protected and preserved as evidence to support future actions, and to ensure current and future accountability, statutory obligations, financial, administrative and audit requirements. This Policy shall also enable the University maintain its institutional memory.

3. Policy Statement

The University is committed to a culture of managing data, information and records as valuable corporate assets which are created, used and shared effectively to advance the University's strategic priorities. The University shall maintain authentic, reliable and useable records, which are capable of supporting business functions and activities for as long as they are required. This will be achieved through the consolidation, establishment and continuous improvement of effective records management policies and procedures.

4. Policy Objectives

The objectives of the policy are:

i. To ensure the creation and management of authentic, reliable, complete, and usable records, capable of supporting the University's functions and activities for as long as they are required.

ii. To ensure compliance with legislation and statutory obligations of the University;

iii. To manage the overhead cost associated with storage and maintenance of records by limiting the accumulation of records that are not needed for business, regulatory, historical or other reasons

iv. To enable selection and preservation of the historic records of the University's operation, development and activities.

5. Scope of the Policy

This policy applies to all records created, received or maintained by all staff that relate to the University business. It also applies to those on work experience placements, volunteers, secondees, agency workers, contractors, suppliers, partners, external researchers, and visitors, where the aforementioned groups are given access to records in the course of carrying out their duties. All such records remain under the ownership of the Mara University.

6. Records Management Principles

The University shall be guided by the following records management principles:

i. The University's data, information and records management processes reflect best practice standards and comply with relevant legislation and regulatory requirements.

ii. The University's approach to data and information access is one of openness and transparency in carrying out its functions.

iii. The University is committed to the responsible collection, retention and handling of personal and sensitive data and information.

iv. The University demonstrates a commitment to maintaining a robust information security environment.

v. The University manages all information assets in a manner that enables accountability and return of value.

vi. University data and information management roles and responsibilities are clearly defined.

7. Classifications of Records and Information

The University shall identify and classify its information assets into one of four levels of sensitivity and risk. Proper levels of protection shall be implemented to protect these assets relative to the classification. The following levels shall be used when classifying information:-

i. Protected Information

Data and information is classified as protected when an unauthorized disclosure, alteration or destruction of that data will cause a significant level of risk to the University. Access to Confidential data must be individually requested and then authorized by the Data Owner who is responsible for the data. The assessment of risk and access approval will be determined by the data owner or management.

ii. **Confidential Information**

Confidential or sensitive information that would not necessarily expose the University to significant loss, but the data owner has determined security measures are needed to protect from unauthorized access, modifications, or disclosure. Decisions about the provision of access to this information must always be cleared through the information owner.

iii. Internal Information

Internal Information is intended for unrestricted use within the University, and in some cases within affiliated organizations such as the University partners. This type of information is already widely-distributed within the University, or it could be so distributed within the institution without advance permission from the information owner.

iv. Public Information

Data and information will be classified as Public when the unauthorized disclosure, alteration or destruction of that data would results in little or no risk to the University and its affiliates. Public Information shall be specifically approved for public release by a designated authority within each entity of the University.

8. Security and Protection of Records

The University recognizes that records managed outside of corporate information systems are at greater risk of unauthorized access, loss, intentional or accidental alternation or destruction and for this reason will ensure that all corporate records, including highly sensitive or confidential records, will be managed within the appropriate corporate information system. All records are to be categorized as to their level of sensitivity, adequately secured and protected, and kept in accordance with necessary retrieval, preservation and storage requirements.

The University also recognizes that within the electronic document management environment, an individual's login identification must be inviolate. This ensures that audit trails are accurate and that documentation relating to workflow can be used as proof of an action or approval process without recourse to digital signatures. Therefore, at no time will staff share access codes, passwords, login identifications etc when accessing the University's ERP system.

Hardcopy records shall at no time be moved off-site without the express authorization of the University Management. Staff using records off-site shall apply the appropriate security measures to ensure that the information is not accessed, corrupted, deleted or destroyed by unauthorized individuals.

All institutional units shall ensure that measures are taken to avoid possible damage to records by promoting awareness of the University's Contingency Plan, by developing local back-up regimes for electronic records where central back-ups are not available and by storing physical records in an appropriately secure and safe environment.

8.1 Electronic Records Management

Electronic records generated or received by various officers/offices within the University in the course of official business are official records of the University. As records of the University, electronic records, like records in other formats, are subject to statutory and regulatory requirements. To maintain integrity, accuracy and authenticity of electronic records, officers shall ensure that:

i. Electronic records are managed effectively as part of a comprehensive records management programme

ii. Electronic records are maintained in reliable recordkeeping systems

iii. Maintenance and provision of authorized access to electronic records shall be a shared responsibility between the records creators and ICT Directorate

iv. Electronic records which may be required in future as evidence shall comply with metadata requirements, which should include content, context and structure

v. Practical strategies shall be taken for the long-term preservation of electronic records in view of technological obsolescence.

8.2 University Archives

The University shall establish an archive. The Administration, Finance, and Planning division shall be responsible for facilitating the identification and appropriate management of the archival holdings of the University. The University shall ensure that arrangements are in place to provide for the identification, storage and preservation of and public access to these records. These arrangements will conform to relevant legislations and University Statutes, policies, rules and regulations.

9. Statement of Responsibilities

The University has a corporate responsibility to maintain its records and record keeping systems in accordance with the prevailing regulatory environment. The Registrar (Administration) has overall responsibility for this policy.

Heads of School and Departments are responsible for ensuring that records management within their School and Departments is in line with University policy, guidelines and procedures and that member of staff receive training and guidance as appropriate.

The Vice-Chancellor shall appoint Records and Information Management Committee to oversee the implementation of this policy.

10. Records Management Procedures and Systems

i. Creation of Records

All staff (including consultants and contractors) shall create full and accurate records, in the appropriate format, of the University business decisions, discussions and transactions to meet all business, administrative, financial, evidential and historical requirements.

Where central files exist for the capture of information being created and/or received (eg official Student, Staff, Research, Administration, General Files etc), all original records will be placed on the central file. The University will not create duplicate filing systems when access to central files is available. This will ensure that resources are not wasted and that confusion between the official file and local files will be avoided.

Staff shall ensure that information created and recorded is relevant to the business activities of the University and is written in an appropriate and professional style. Clear distinctions shall be made between facts, opinions and assumptions. Offensive, overly subjective, or inappropriately pejorative comments about individuals will not be recorded in documents.

ii. Capture and Control of Records

All records created and received by staff (including consultants and contractors) in the course of the University's business are to be captured regardless of format, with required metadata, into appropriate records management and/or corporate information systems that are managed in accordance with sound record keeping principles. Formal University documents such as reports, policies, procedures and documents shall be created using a document control template to ensure that all necessary metadata is captured including author, date, version, file number, approving body etc.

iii. Mail Management

Management of mail shall be streamlined to support the University's business transactions. Receipt, registration, distribution, storage and dispatch of all incoming and outgoing mail shall be coordinated from designated records management offices (registries). Such mail shall be filed, arranged and indexed in an appropriate way for ease of use and retrieval.

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

iv. Access to Records

Access to records and information shall be provided within the existing University regulatory framework. After transfer of records to the archive, the security classification therein identified as top secret, secret, confidential and restricted shall be maintained until such time that the same will be downgraded by the creating department. The University shall develop a Records management rules and regulations and operation manual that shall:

Specify appropriate levels of access or restrictions and control mechanisms for handling records. Security status/restrictions on records shall be reviewed periodically to determine the need for additional control measures or for de-classification of information by the creating office.

Access to archival records by researchers shall be subject to the provisions of the Public Archives and Documentation Service Act, Cap. 19, 1965 (Revised 2003) of the laws of Kenya and relevant University rules and regulations.

v. Disposal of Records

The process of records disposal shall be initiated at departmental level. All University records, including those managed outside of the University's corporate information systems will only be disposed of in accordance with the provisions of the Universities Act, 2012, the Public Procurement and Asset Disposal Act 2015, the Public Archives and Documentation Service Act (Cap 19) and relevant University rules and regulations. Disposal actions include destruction, transfer of custody or archiving of records.

Where disposal coverage does not exist, the relevant records will be appraised according to their evidential, administrative and research value. Official University files that are registered in the ERP will only be disposed of by ICT Directorate staff.

University records managed in local record keeping systems may be destroyed by local staff in accordance with an approved Disposal Authority and under the direction of the relevant head. Final approval will be sought from the University Management prior to any action resulting from the disposal process taking place.

Records documenting the disposal of corporate records will be maintained as University Archives. All disposal actions undertaken shall be documented and include a description and date range of the records, the Disposal Authority and class used to sentence the records, and formal approval from the University Archivist.

vi. Records Retention

The University units shall be responsible for utilizing the record retention schedules to manage their information. These Units must maintain the records for the period specified on the record retention schedules.

vii. Archiving

When departments are intending to archive records, they are to contact the Information Officer for assistance. Staff will be provided with the necessary documentation, archival material and advice where applicable.

a. All records intended for archiving must first be captured on the Records Storage database by authorized Administration staff

b. Records will be issued an identification number

c. Each record/file is filed with a record/file ID form completed stating clearly the record ID, department name, description of contents, permanent or not, Retention Period for Temporary Storage and destruction date. This form is attached to the outside of the file or document.

d. Retention and disposal dates will be applied in accordance with legislation and University rules and regulations

e. Each record will be placed in a numbered box for future retrieval or disposal

f. This information will be documented on the Records Storage database by authorized administration staff

11. Monitoring and Evaluation

The University shall put in place systems to assess the extent to which the policy objectives were realized. Such systems shall also assess the effectiveness of the policy guidelines. Relevant indicators shall be developed and be made available to enable stakeholders at all levels monitor and assess ICT development activities on a regular basis.

12. Policy Review

An evaluation of the outcomes of this policy will provide information on the extent to which the policy is being implemented and the progress being made in achieving Policy objectives. This policy document shall be reviewed as need arises.

Annex 1: Records Retention Schedule

Records Retention Schedule

The following retention schedule will be reviewed by the (Insert Title of Head of Function) in light of experience and any legal or other relevant indications.

Record Group Record	Record Description	Retention Period	Rationale / Requirement	Requirement Final Disposition	Owner of Record

Specify Record Group, e.g. Staff

Description of files, e.g. interview

Length of time which record should be

Justification for retention period, e.g.

Actions when record exceeds retention date

Position holder responsible

Date Approved by Head of Function	
Date Noted by Information Officer	

Date of Last Review	