

**SOUTH EASTERN KENYA UNIVERSITY (SEKU)**

**RECORDS MANAGEMENT POLICY**

2026

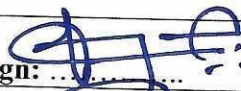
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Council.  
2.12/06/2026.

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## DOCUMENT APPROVAL FORM

|                                                 |                              |                         |
|-------------------------------------------------|------------------------------|-------------------------|
| SEKU – ISO 9001:2015 QUALITY MANAGEMENT SYSTEMS |                              |                         |
| ISSUE FOR USE ON:<br>.....                      | RECORDS MANAGEMENT<br>POLICY | REF:<br>SEKU/CS/POL/xxx |

|                                                                 |                                                                                            |                |
|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------|----------------|
| Approved by: Prof. Francis Wachira<br>Management Representative | Sign:  | Date: 18.6.26  |
| Authorized by: Prof. Eng. Douglas Shitanda<br>Vice Chancellor   | Sign:   | Date: 12/06/26 |



## **THE MANDATE, VISION, MISSION, VALUES AND PHILOSOPHY**

### **(1) Mandate**

The core mandate of the University is research, teaching and learning, community service, innovation and commercialization.

### **(2) Vision**

A globally competitive Centre of Excellence in Research, Teaching and Learning, Community Service, Innovation and Commercialization.

### **(3) Mission**

To provide quality education through research, teaching, extension, innovation and entrepreneurship with emphasis on food and nutrition security, health, engineering and technology, environment and natural resources management for sustainable development.

### **(4) Core Values**

To achieve vision and mission, the University will be guided by the following core values:

- a) Patriotism
- b) Professionalism
- c) Democracy and good governance
- d) Innovation
- e) Integrity, transparency and accountability
- f) Inclusivity, equity and equality
- g) Freedom of thought
- h) Teamwork
- i) Sustainability

### **(5) Philosophy**

Arid to green ..... Transforming lives



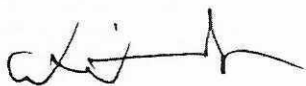
## **PREFACE**

South Eastern Kenya University (SEKU) recognizes that records are a vital institutional asset that underpin effective governance, accountability, transparency, and service delivery. As a public university established under the laws of Kenya, SEKU has a responsibility to manage its records in a manner that supports its core mandate of teaching, research, innovation, and community engagement, while ensuring compliance with national legal and regulatory requirements.

This Records Management Policy provides a structured framework for the creation, management, use, preservation, and disposal of university records in all formats. It reflects best practices in records and information management and aligns with applicable legislation, including the Constitution of Kenya, the Public Archives and Documentation Service Act, the Data Protection Act, and the Access to Information Act. The policy is intended to promote efficiency, protect institutional memory, safeguard sensitive information, and support informed decision-making across all levels of the University.

The University Council is committed to fostering a culture of good records management and accountability. Successful implementation of this policy requires the collective responsibility and cooperation of Council members, management, staff, and all stakeholders who create or use SEKU records during official business.

On behalf of the University Council, I therefore approve and commend this Records Management Policy for adoption and implementation across South Eastern Kenya University. All members of the University community are required to comply with its provisions and support continuous improvement in records management practices.



Prof. Crispus Kiamba

**CHAIRPERSON, SEKU COUNCIL**



## FOREWORD

Effective records management is fundamental to the achievement of South Eastern Kenya University's mandate and strategic objectives. Records provide evidence of decisions, actions, rights, and obligations, and are essential for sound governance, academic integrity, accountability, and efficient service delivery.

This Records Management Policy establishes a coherent and systematic framework for managing records throughout their life cycle from creation and use to storage, preservation, and lawful disposal. The policy applies to all records, regardless of format, and to all members of staff who create, receive, or manage records during official University business. It is aligned with national legislation and recognized best practices in records and information management.

The University Management is fully committed to the implementation of this policy. To achieve its objectives, SEKU will provide the necessary institutional support, including clear procedures, appropriate systems, capacity building, and continuous monitoring. Heads of departments, units, and individual staff members are expected to take personal responsibility for complying with this policy and for safeguarding the integrity, security, and accessibility of University records.

I therefore urge all members of the SEKU community to familiarize themselves with the provisions of this policy and to integrate sound records management practices into their daily operations. Through collective commitment and adherence to this policy, the University will strengthen its institutional memory, enhance transparency and accountability, and support excellence in teaching, research, and administration.



Prof. Eng. Douglas Shitanda

**VICE CHANCELLOR**



## ACRONYMS AND ABBREVIATIONS

|       |                                                   |
|-------|---------------------------------------------------|
| AC    | Active (frequently used)                          |
| SA    | Semi-active (occasionally used)                   |
| PERM  | Permanent retention                               |
| DEST  | Destroy securely                                  |
| KNADS | Kenya National Archives and Documentation Service |
| SEKU  | South Eastern Kenya University                    |
| ARCH  | Transfer to University Archives / KNADS           |
| VC    | Vice Chancellor                                   |



## DEFINITIONS

|                                             |                                                                                                                                                                                                                              |
|---------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record:</b>                              | Any recorded information created, received, and maintained as evidence of SEKU's activities, regardless of format.                                                                                                           |
| <b>Records Management:</b>                  | The systematic control of records throughout their life cycle.                                                                                                                                                               |
| <b>Life Cycle of Records</b>                | Creation, use, maintenance, storage, and disposal or archival preservation of records.                                                                                                                                       |
| <b>Vital Records:</b>                       | Records that are essential for the continued operation of the university.                                                                                                                                                    |
| <b>Accessibility</b>                        | Availability and ease of access to records for consultation because of both legal authorization and the existence of retrieval tools.                                                                                        |
| <b>Appraisal</b>                            | Process of determining the value of records in order to establish the disposal action.                                                                                                                                       |
| <b>Classification Scheme</b>                | 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          |
| <b>Continuum of Care</b>                    | A consistent and coherent regime of management processes from the time of the creation of records (and before creation, in the design of Record keeping systems) through to the preservation and use of records as archives. |
| <b>Current Records</b>                      | Records regularly used for the conduct of the current business of the University.                                                                                                                                            |
| <b>Disaster Management Plan</b>             | Organized scheme of procedures for mitigating against natural or man-made disasters and facilitating recovery of records in the event of a disaster.                                                                         |
| <b>Document</b>                             | Recorded information in any format which can be treated as a unit.                                                                                                                                                           |
| <b>Electronic Record</b>                    | Any combination of text, graphics, data, audio, pictorial, or other information representation in digital form that is created, modified, maintained, archived, retrieved, or distributed by a digital information system.   |
| <b>Electronic Records Management System</b> | Any electronic system that manages the capture, storage, location and retrieval of records, either in paper or electronic format.                                                                                            |



|                                     |                                                                                                                                                                                                                                                                                     |
|-------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>File</b>                         | A group of related documents fastened together within a file folder. Virtual files can be created for electronic documents.                                                                                                                                                         |
| <b>Filing Systems</b>               | A logical and systematic arrangement for classifying records into subject groups or categories based on definite scheme of natural relationships representing numerals, prefixes, or key words for identification.                                                                  |
| <b>Information</b>                  | Knowledge that is communicated and has facts, concepts, objects, events, ideas, processes, etc.                                                                                                                                                                                     |
| <b>Information Management</b>       | Planning, controlling and exploitation of information sources within the University.                                                                                                                                                                                                |
| <b>Medium (Media)</b>               | The physical form of material on which information is recorded such as paper, film, CDs, magnetic tapes and disks, etc.                                                                                                                                                             |
| <b>Non-current records</b>          | Records rarely needed by the office of origin to conduct current business.                                                                                                                                                                                                          |
| <b>Preservation</b>                 | All measures taken, including financial and strategic decisions, to maintain the integrity and extend the life of records.                                                                                                                                                          |
| <b>Record</b>                       | Information created or received and maintained by the University in pursuance of legal obligations or in the transaction of business.                                                                                                                                               |
| <b>Records Centre</b>               | Facility for the low-cost storage, maintenance, reference and use of semi-current records pending their ultimate disposal.                                                                                                                                                          |
| <b>Records Disposal</b>             | The act of removal of records from their place of origin, whether for destruction or formal transfer to records storage centre or archives, of records that have reached the end of their retention period                                                                          |
| <b>Records Management</b>           | The systematic control of all records from their creation or receipt through processing, retrieval, distribution and use, to their ultimate preservation and disposal.                                                                                                              |
| <b>Records Management Office</b>    | Division/section responsible for management of records in the University.                                                                                                                                                                                                           |
| <b>Records Management Programme</b> | The programme ensures that records are created in an organized manner, in a manageable quantity and in suitable formats. It allows records only to remain in offices only as long as they are current and describes procedures for the storage and disposal of non-current records. |



|                                   |                                                                                                                                                                                       |
|-----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Records Manager</b>            | Person trained in records management and responsible for achieving efficiency in the creation, maintenance, use, and disposal of records.                                             |
| <b>Records Retention Schedule</b> | A control document describing the records of the University establishing retention periods and providing legal authorization for their disposal.                                      |
| <b>Records Retrieval</b>          | Locating and delivering records for use.                                                                                                                                              |
| <b>Records Storage</b>            | Preservation measures for keeping records under defined conditions and permitting their retrieval or the information contained in them.                                               |
| <b>Records Survey</b>             | An exercise conducted to identify the size, scope, and complexity of the University's records and evaluate the records management systems.                                            |
| <b>Records Value</b>              | The usefulness of records for operating, administrative, legal, fiscal, and historical purposes.                                                                                      |
| <b>Retention Period</b>           | Period of time that records should be retained in their offices of origin or in records centre's before they are transferred to the Archives for preservation or otherwise destroyed. |
| <b>Semi-Current Records</b>       | records occasionally required in the conduct of current business.                                                                                                                     |
| <b>Vital Records</b>              | Records containing essential information necessary for the continuity or resumption of operations in the event of a disaster.                                                         |
| <b>Committees (Major)</b>         | These include Council, Senate and University Management Board.                                                                                                                        |
| <b>Committees (Minor)</b>         | These include Council Committees, Senate Committees and University Management Board Committee e,g Budget                                                                              |
| <b>Committees (Routine)</b>       | These include Ad-hoc committees established to carry out a specific assignment and stand dissolved once the task is accomplished.                                                     |



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## **1.0 INTRODUCTION**

### **1.1 Background Information**

South Eastern Kenya University (SEKU) generates, receives, and maintains records in the course of executing its academic, administrative, financial, legal, and research mandates. These records constitute a vital institutional resource that supports effective governance, service delivery, decision-making, accountability, and the preservation of the University's corporate memory.

Effective records management is essential to ensure that information created and received by the University is authentic, reliable, complete, usable, and accessible for as long as it is required. Poorly managed records expose the University to operational inefficiencies, legal risks, loss of institutional memory, and non-compliance with statutory and regulatory requirements.

This Records Management Policy and the accompanying Records Retention and Disposal Schedules provide a framework for the systematic creation, classification, maintenance, use, protection, retention, and lawful disposal of records in all formats, including paper-based and electronic records, across all University organs, campuses, schools, departments, and units. The Policy is guided by applicable Kenyan legislation, including but not limited to the Public Archives and Documentation Service Act, the Data Protection Act, the Access to Information Act, and other relevant government regulations, as well as recognized international best practices and standards in records and information management.

### **1.2 Purpose of the Policy**

The purpose of this policy is to:

- 1) Ensure reliable creation, maintenance, and accessibility of university records
- 2) Promote transparency, accountability, and good governance.
- 3) Support effective decision-making, service delivery, and institutional memory.
- 4) Ensure compliance with Kenyan laws and regulatory requirements.
- 5) Protect records against loss, damage, unauthorized access, or misuse.



### 1.3 Policy Objectives

SEKU aims to:

- 1) Ensure records are authentic, reliable, complete, and usable
- 2) Improve efficiency and reduce operational risks
- 3) Safeguard sensitive and confidential information
- 4) Support teaching, research, and administrative functions
- 5) Preserve records of historical and archival value

### 1.5 Scope of the Policy

This policy applies to:

- 1) All SEKU employees (academic, administrative, and support staff).
- 2) All records created, received, or maintained by SEKU.
- 3) Records in all formats, including paper, electronic, audio-visual, and digital media.
- 4) Records generated during official university business.

### 1.6 Guiding Principles

SEKU shall observe the following guiding principles in records management:

1) **Accountability**

Establish clear roles and responsibilities for records creation, management, preservation, and disposal. Everyone in the institution should be accountable for records in their possession

2) **Integrity and Authenticity**

Records must be trustworthy and reliable; their content should be accurate, complete, and protected from unauthorized alteration.

3) **Compliance with Legal and Regulatory Requirements**

Manage records in compliance with relevant Kenyan laws and regulations (e.g., Public Archives and Documentation Service Act, Access to Information Act, Data Protection Act) and any sector-specific requirements.



**4) Protection and Security**

Ensure records (physical and electronic) are safeguarded against loss, damage, unauthorized access, and data breaches throughout their lifecycle.

**5) Transparency and Accessibility**

Records should be organized and stored so they are retrievable in a timely and efficient manner by authorized users to support institutional operations, accountability, and service delivery.

**6) Auditability and Monitoring**

Implement mechanisms to monitor compliance with the records policy and enable audit trails for accountability and continuous improvement.

**7) Transparency in Governance**

Support institutional transparency by managing records in ways that enable appropriate access and accountability in decision-making and reporting.

## **2.0 POLICY STATEMENT, LEGAL FRAMEWORK AND CITATION**

### **2.1 Policy Statement**

South Eastern Kenya University (SEKU) is committed to creating, maintaining, using, preserving, and disposing of records in a systematic, secure, and accountable manner. This policy ensures that records are managed efficiently throughout their life cycle in compliance with applicable legal, regulatory, and institutional requirements.

### **2.2 Legal Framework**

This policy is guided by, but not limited to, the following:

- 1) Constitution of Kenya (2010)
- 2) Public Archives and Documentation Service Act (Cap. 19)
- 3) Data Protection Act, 2019
- 4) Access to Information Act, 2016
- 5) Universities Act, 2012



6) SEKU Charter, Statutes, and Regulations

### 2.3 Citation

This policy shall be cited as “South Eastern Kenya University Records Management Policy, 2026”.

## 3.0 POLICY IMPLEMENTATION AND COORDINATION FRAMEWORK

### 3.1 Roles and Responsibilities

The roles and responsibilities of University organs and managers in records management shall be as follows:

| University Organ / Officer                       | Roles and Responsibilities in Records Management                                                                                                                                                                                                                                                                           |
|--------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| University Council                               | <ol style="list-style-type: none"> <li>1) Approves the Records Management Policy and related frameworks</li> <li>2) Provides overall governance and oversight</li> <li>3) Ensures compliance with legal and regulatory requirements</li> </ol>                                                                             |
| Vice-Chancellor (VC)                             | <ol style="list-style-type: none"> <li>1) Overall responsibility for effective records management across the University</li> <li>2) Ensure policy implementation and institutional compliance</li> <li>3) Allocates adequate resources for records management</li> </ol>                                                   |
| Deputy Vice-Chancellors (DVCs)                   | <ol style="list-style-type: none"> <li>1) Oversee records management within their respective divisions (Academic, Administration, Research, etc.)</li> <li>2) Ensure faculties and departments comply with policy requirements</li> </ol>                                                                                  |
| University Management Board / Senate             | <ol style="list-style-type: none"> <li>1) Supports implementation of records management policy</li> <li>2) Integrates records management into academic and administrative decision-making</li> </ol>                                                                                                                       |
| Registrar (Academic / Administration / Planning) | <ol style="list-style-type: none"> <li>1) Ensures proper creation, maintenance, and use of records in their functional areas</li> <li>2) Oversees compliance with approved records procedures</li> <li>3) Coordinates records retention and disposal activities</li> </ol>                                                 |
| Records Management Unit / University Archivist   | <ol style="list-style-type: none"> <li>1) Develop records management standards, procedures, and retention schedules</li> <li>2) Manages active, semi-active, and archival records</li> <li>3) Provides technical guidance and advisory services</li> <li>4) Coordinates transfer and lawful disposal of records</li> </ol> |
| Deans of Schools / Directors of Institutes       | <ol style="list-style-type: none"> <li>1) Ensure proper records management practices within schools and institutes</li> </ol>                                                                                                                                                                                              |



|                             |                                                                                                                                                                                                          |
|-----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                             | 2) Supervise departmental compliance with policy and procedures                                                                                                                                          |
| Heads of Departments (HODs) | 1) Ensure records are created, filed, maintained, and safeguarded appropriately<br>2) Identify vital records and support appraisal and disposal processes                                                |
| ICT Directorate             | 3) Enforce adherence to records management guidelines<br>1) Provides and maintains electronic records management systems<br>2) Ensures security, backup, integrity, and accessibility of digital records |
| Internal Audit Unit         | 3) Supports data protection and cybersecurity controls<br>1) Audits compliance with records management policies and procedures<br>2) Reviews adequacy of controls, retention, and disposal practices     |
| Legal Office                | 1) Advises on legal, regulatory, and compliance issues related to records<br>2) Identify records required for litigation, audits, or investigations                                                      |
| Human Resource Department   | 1) Manages staff records in accordance with retention schedules and data protection laws<br>2) Ensures confidentiality and secure access to personnel records                                            |
| All University Staff        | 1) Create and maintain accurate records in the course of official duties<br>2) Protect records from loss, damage, or unauthorized access• Comply with records management policies and procedures         |
| Students (where applicable) | 1) Proper use of academic and administrative records assigned to them<br>2) Comply with university regulations regarding records and information                                                         |

#### 4.0 POLICY MANAGEMENT FRAMEWORK

##### 4.1 Records Creation and Capture

- i. Records shall be created accurately, completely, and promptly
- ii. All official records must be captured into approved recordkeeping systems
- iii. Duplicate and unnecessary records should be minimized



#### **4.2 Records Classification and File Plan**

- i. SEKU shall maintain a file classification system as per approved Quality Management System.
- ii. Records shall be classified according to function and activity
- iii. Consistent naming conventions shall be applied

#### **4.3 Records Storage and Maintenance**

- i. Records shall be stored in secure, appropriate environments
- ii. Physical records shall be protected from fire, water, pests, and theft
- iii. Electronic records shall be protected through access controls, backups, and cybersecurity measures

#### **4.4 Access, Security, and Confidentiality**

- i. Access to records shall be based on authorization and need-to-know principles
- ii. Confidential and sensitive records shall be adequately protected
- iii. Personal data shall be handled in compliance with the Data Protection Act, 2019

#### **4.5 Electronic Records Management**

- i. Electronic records are official records of SEKU
- ii. Approved electronic records management systems shall be used
- iii. Regular backups and system audits shall be conducted

#### **4.6 Vital Records Management**

- i. SEKU shall identify and protect vital records.
- ii. Disaster preparedness and recovery plans shall be in place.
- iii. Copies of vital records may be stored off-site or in secure digital repositories.



### **3.8 Records Retention and Disposal**

- i. Records Retention and Disposal Schedule shall be maintained
- ii. Records shall only be disposed of after authorized approval
- iii. Disposal methods should ensure confidentiality.
- iv. Archival records shall be transferred to the university archives or relevant authority

### **3.9 Training and Awareness**

- i. SEKU shall provide regular records management training
- ii. Staff shall be sensitized on legal and policy obligations

### **3.10 Records Retention Schedules**

Records retention schedules shall be as provided in appendix 1 of this policy.

### **3.12 Records Retention Forms**

Records retention schedules shall be as provided in appendix 2 of this policy.

## **4.0 MONITORING, EVALUATION, REPORTING AND LEARNING**

Monitoring and evaluation (M&E) provide regular and timely information in support of evidence-based decision-making serving as a key driver towards the realization of the University's goals. The University shall set up an effective and results-based monitoring and evaluation system that will guarantee continuous monitoring using the identified indicators and evaluation.

### **5.1 Monitoring**

The DVC, Corporate Services, will be responsible for monitoring the implementation of this policy. The monitoring process will ensure that the established performance targets on records management are met by each unit and appropriate feedback for continual improvement is recommended. The University shall ensure that:

- i. Effective instruments and indicators are used to evaluate whether the environmental



management objectives have been achieved.

- ii. Constraints and challenges in records management process have been identified.
- iii. Ways to improve records management have been devised.
- iv. Lessons learnt from the process have been documented and used in planning future public participation initiatives.

## **5.2 Evaluation**

The Vice-Chancellor will be responsible for coordination of periodic evaluation is done. The evaluation of the policy will focus on efficiency, effectiveness and measurement of actual performance against targets arising from activities derived from the policy objectives. The differences, if there are any, will be identified and appropriate recommendations and intervention measures recommended.

## **5.3 Reporting and Learning**

The heads of functional areas shall prepare and submit reports on public participation exercises as and when required. The information prepared includes progress made, challenges encountered and identified emerging issues. This information can also be used to promote a culture of learning and application of lessons learned. The lessons learnt shall be considered at the time of review of the policy to ensure that the policy addresses old and emerging issues regarding records management.

## **5.3 Review**

The policy will be reviewed as need arises to address emerging issues and with the aim of enhancing efficient delivery of effective outcomes.

## **5.4 Effective Date**

This Records Management Policy shall take effect upon approval by the University Council of South Eastern Kenya University.



## APPENDICES

### APPENDIX 1: RECORDS RETENTION AND DISPOSAL SCHEDULES SCOPE

These schedules apply to all records created or received by SEKU during official business, regardless of format (paper, electronic, audio-visual, or digital).

#### GENERAL RETENTION PRINCIPLES

The following principles apply to disposal of records at SEKU:

- 1) Retention periods begin after closure or completion of an activity
- 2) Disposal must be authorized by the University Records Manager and relevant Registrar
- 3) Records subject to litigation, audit, or investigation shall not be destroyed
- 4) Archival records shall be transferred to the University Archives or Kenya National Archives and Documentation Service (KNADS), where applicable

#### 1.1 Governance and Administration Records

| Record Type                            | Retention Period     | Final Action |
|----------------------------------------|----------------------|--------------|
| University Charter, Statutes, Policies | PERM                 | ARCH         |
| Council minutes and agendas            | PERM                 | ARCH         |
| Senate minutes and agendas             | PERM                 | ARCH         |
| Committee minutes (major)              | PERM                 | ARCH         |
| Committee minutes (routine)            | 10 years             | DEST         |
| Strategic plans                        | PERM                 | ARCH         |
| Annual reports                         | PERM                 | ARCH         |
| Legal opinions and contracts           | 7 years after expiry | DEST         |
| Memoranda of Understanding (MOUs)      | 7 years after expiry | DEST         |
| Correspondence (policy-related)        | 10 years             | ARCH         |
| General correspondence                 | 5 years              | DEST         |



### 1.2 Human Resource Records

| Record Type                               | Retention Period           | Final Action |
|-------------------------------------------|----------------------------|--------------|
| Staff personal files (permanent staff)    | 7 years after separation   | DEST         |
| Staff personal files (contract/temporary) | 5 years after separation   | DEST         |
| Recruitment and selection records         | 5 years                    | DEST         |
| Payroll records                           | 7 years                    | DEST         |
| Leave records                             | 5 years                    | DEST         |
| Performance appraisal records             | 5 years                    | DEST         |
| Disciplinary records                      | 7 years after case closure | DEST         |
| Training and development records          | 5 years                    | DEST         |
| Pension and retirement records            | PERM                       | ARCH         |

### 1.3 Academic and Student Records

| Record Type                   | Retention Period                    | Final Action |
|-------------------------------|-------------------------------------|--------------|
| Student admission records     | PERM                                | ARCH         |
| Student registration records  | PERM                                | ARCH         |
| Student transcripts           | PERM                                | ARCH         |
| Examination results           | PERM                                | ARCH         |
| Graduation lists              | PERM                                | ARCH         |
| Course syllabi and curricula  | PERM                                | ARCH         |
| Continuous assessment records | 5 years                             | DEST         |
| Examination scripts           | 2 years                             | DEST         |
| Student disciplinary records  | 5 years after graduation/separation | DEST         |
| Alumni records                | PERM                                | ARCH         |

### 1.4 Finance and Procurement Records

| Record Type | Retention Period | Final Action |
|-------------|------------------|--------------|
|-------------|------------------|--------------|



|                                  |                          |      |
|----------------------------------|--------------------------|------|
| Financial statements             | PERM                     | ARCH |
| Budget estimates                 | 10 years                 | DEST |
| Audit reports                    | PERM                     | ARCH |
| Payment vouchers                 | 7 years                  | DEST |
| Receipts and invoices            | 7 years                  | DEST |
| Procurement files                | 7 years after completion | DEST |
| Asset registers                  | PERM                     | ARCH |
| Grants and donor funding records | 10 years after closure   | DEST |

### 1.5 Research and Innovation Records

| Record Type                   | Retention Period | Final Action |
|-------------------------------|------------------|--------------|
| Research proposals            | 5 years          | DEST         |
| Research data (published)     | PERM             | ARCH         |
| Research data (unpublished)   | 10 years         | DEST         |
| Research ethics approvals     | PERM             | ARCH         |
| Intellectual property records | PERM             | ARCH         |
| Patents and copyrights        | PERM             | ARCH         |

### 1.6 Legal and Compliance Records

| Record Type             | Retention Period      | Final Action |
|-------------------------|-----------------------|--------------|
| Litigation files        | 7 years after closure | DEST         |
| Court judgments         | PERM                  | ARCH         |
| Insurance policies      | 7 years after expiry  | DEST         |
| Risk management records | 10 years              | DEST         |
| Compliance reports      | 10 years              | DEST         |

### 1.7 Information Technology Records

| Record Type | Retention Period | Final Action |
|-------------|------------------|--------------|
|-------------|------------------|--------------|



|                                |                          |      |
|--------------------------------|--------------------------|------|
| Systems documentation          | Life of system + 5 years | DEST |
| User access logs               | 2 years                  | DEST |
| Data backup records            | As per ICT policy        | DEST |
| Cybersecurity incident reports | 7 years                  | DEST |

### 1.8 Estates, Facilities, and Security Records

| Record Type                 | Retention Period             | Final Action |
|-----------------------------|------------------------------|--------------|
| Building plans and drawings | PERM                         | ARCH         |
| Maintenance records         | 10 years                     | DEST         |
| Security incident reports   | 5 years                      | DEST         |
| CCTV footage                | 30–90 days (unless required) | DEST         |
| Vehicle logbooks            | Life of vehicle + 5 years    | DEST         |

## 6.0 DISPOSAL PROCEDURES

During the process of disposing records, the following shall apply:

- 1) Disposal must follow an approved Disposal Authorization Form
- 2) Secure methods shall be used (shredding, pulping, secure deletion)
- 3) A Disposal Register shall be maintained
- 4) Disposal of public records shall comply with KNADS requirements



## APPENDIX 2: RECORDS DISPOSAL FORMS AND REGISTERS

### A. RECORDS DISPOSAL FORMS

#### FORM 1: RECORDS DISPOSAL AUTHORIZATION REQUEST (RDAR)

##### Purpose:

To request approval for disposal of records that have reached the end of their retention period.

1. Requesting Department/Unit: \_\_\_\_\_
2. School/Directorate: \_\_\_\_\_
3. Location of Records: \_\_\_\_\_

##### RECORDS DETAILS

| Item No. | Record Series Title | File Reference / Code | Date Range | Format (Paper/ Electronic) | Retention Period | Disposal Action (Destroy/Archive) |
|----------|---------------------|-----------------------|------------|----------------------------|------------------|-----------------------------------|
| 1        |                     |                       |            |                            |                  |                                   |
| 2        |                     |                       |            |                            |                  |                                   |

##### 4. Confirmation

I confirm that the above records have met their approved retention period and are not subject to audit, litigation, investigation, or ongoing administrative use.

| Name of Responsible Officer | Designation | Signature | Date |
|-----------------------------|-------------|-----------|------|
|                             |             |           |      |

##### APPROVAL SECTION

##### Records Manager / Archivist

| Name | Signature | Date |
|------|-----------|------|
|      |           |      |

##### Registrar (Relevant Division)



| Name | Signature | Date |
|------|-----------|------|
|      |           |      |

## FORM 2: CERTIFICATE OF RECORDS DESTRUCTION

### Purpose:

To officially certify that authorized records were destroyed securely.

| Department/Unit | Disposal Authorization Reference No. |
|-----------------|--------------------------------------|
|                 |                                      |

### RECORDS DESTROYED

| Item No. | Record Series | File Reference | Date Range | Quantity (Files/Boxes/GB) | Method of Destruction |
|----------|---------------|----------------|------------|---------------------------|-----------------------|
| 1.       |               |                |            |                           |                       |
| 2.       |               |                |            |                           |                       |
| 3.       |               |                |            |                           |                       |

### Method of Destruction:

| Method                  | Date of Destruction | Place of Destruction |
|-------------------------|---------------------|----------------------|
| Shredding               |                     |                      |
| Pulping                 |                     |                      |
| Incineration            |                     |                      |
| Secure Digital Deletion |                     |                      |
| Other (Specify)         |                     |                      |

### CERTIFICATION

#### Officer Supervising Destruction

| Name | Signature | Date |
|------|-----------|------|
|      |           |      |

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**Records Manager / Archivist**

| Name | Signature | Date |
|------|-----------|------|
|      |           |      |

**FORM 3: RECORDS TRANSFER TO ARCHIVES FORM****Purpose:**

To document transfer of archival records to SEKU Archives or KNADS.

1. Transferring Department/Unit: \_\_\_\_\_
2. Receiving Archive: ☐ SEKU Archives ☐ KNADS
3. Transfer Date: \_\_\_\_\_

**RECORDS TRANSFERRED**

| Item No. | Record Series | File Reference | Date Range | Quantity | Access Restrictions |
|----------|---------------|----------------|------------|----------|---------------------|
| 1        |               |                |            |          |                     |
| 2        |               |                |            |          |                     |

**SIGNATURES****Transferring Officer**

| Name | Signature | Date |
|------|-----------|------|
|      |           |      |

**Receiving Archivist**

| Name | Signature | Date |
|------|-----------|------|
|      |           |      |

**B. RECORDS DISPOSAL REGISTERS**

## REGISTER 1: RECORDS DISPOSAL REGISTER

### Purpose:

Permanent record of all records disposed of by SEKU.

| Disposal Ref No. | Department | Record Series | Date Range | Quantity | Disposal Method | Authorization Date | Destruction Date | Officer Responsible |
|------------------|------------|---------------|------------|----------|-----------------|--------------------|------------------|---------------------|
| 1.               |            |               |            |          |                 |                    |                  |                     |
| 2.               |            |               |            |          |                 |                    |                  |                     |
| 3.               |            |               |            |          |                 |                    |                  |                     |

## REGISTER 2: ARCHIVAL TRANSFER REGISTER



**Purpose:**

To track records transferred for permanent preservation.

| Transfer Ref No. | Department | Record Series | Date Range | Quantity | Archive Location | Transfer Date | Receiving Officer |
|------------------|------------|---------------|------------|----------|------------------|---------------|-------------------|
| 1.               |            |               |            |          |                  |               |                   |
| 2.               |            |               |            |          |                  |               |                   |
| 3.               |            |               |            |          |                  |               |                   |
|                  |            |               |            |          |                  |               |                   |



### REGISTER 3: SUSPENDED DISPOSAL REGISTER

**Purpose:**

To record disposal actions halted due to audits, litigation, or investigations.

| Ref No. | Department | Record Series | Reason for Suspension | Authority | Suspension Date | Review Date |
|---------|------------|---------------|-----------------------|-----------|-----------------|-------------|
| 1.      |            |               |                       |           |                 |             |
| 2.      |            |               |                       |           |                 |             |
| 3.      |            |               |                       |           |                 |             |
|         |            |               |                       |           |                 |             |



### **C. CONTROL AND COMPLIANCE NOTES**

- 1) All disposal actions must comply with the SEKU Records Retention Schedule
- 2) No records shall be destroyed without written authorization
- 3) Disposal registers shall be retained permanently
- 4) Electronic records disposal must involve the ICT Directorate
- 5) Disposal of public records must comply with Kenya National Archives and Documentation Service (KNADS) requirements.
- 6) Any violations on records management shall be handled in accordance with the University disciplinary procedures.

