



**KUC/13/ADMIN/REC/1**

<b>AUTHORIZATION:</b> All documented information (Quality Objectives, procedures, opportunities and risk register for Records department are issued under the authority of:	
<b>MANAGEMENT REPRESENTATIVE</b>	
Signature:	
Date:	 2 <sup>ND</sup> MAY, 2018
<b>PROCESS OWNER/HOD/DIVISIONAL HEAD</b>	
Signature:	
Date:	 5/JUNE/2018.

**DOCUMENT DETAILS**

1.	Section A: Quality Objectives	
2.	Section B: Procedures	
		Title
		Purpose
		Scope
		Reference
		Terminology
		Responsibility
		Input
		Methods
		Output
		Records
		Key performance Indicators
		Appendices
		Flow chart-process map
3.	Section C: Opportunities	
4.	Section D: Risks	

**SECTION A: QUALITY OBJECTIVES**

OBJECTIVE	ACTIVITIES	RESOURCES.	RESPONSIBILITY.	TIME FRAME.	KEY PERFORMANCE INDICATORS.
To increase the storage space for records	Automating records  Archiving old records  Procuring more cabinets  Identification of more storage space	-Qualified personnel  -Budget  -Automation Application	-Records officer  -Records Clerks  - Procurement Department - ICT - Finance Department	-June 2020	- automated records - storage cabinets - storage space - archived records

## SECTION B: PROCEDURES

### 1. PROCEDURE FOR MAIL MANAGEMENT

#### 2. PURPOSE

To ensure prompt dispatch of official incoming and outgoing mail.

#### 3. SCOPE

Mail management shall cover handling of incoming and outgoing mail.

#### 4. REFERENCES

Records Management policy

ISO 9001:2015

#### 5. TERMS AND DEFINITIONS

**IRC**-Internal Correspondence Register

**OCR**-Outward Correspondence Register

**RAM**-Records and Archives Manager

#### 6. RESPONSIBILITIES

**Records and Archives Manager** is responsible for implementing and maintaining this procedure.

#### 7. INPUT

- 7.1 Mail
- 7.2 Franking machine
- 7.3 Competent personnel
- 7.4 Stamps

#### 8. METHOD

##### 8.1 Incoming Mail

- 8.1.2 The RAM shall be responsible for receiving all incoming post mail, cheques and courier mail.
- 8.1.3 The RAM shall ensure that the sorting of the mail is done within one working day.
- 8.1.4 RAM shall ensure that all the official mail is date stamped, recorded in the internal mail register post, internal mail register courier and Hand Delivered register.

**8.1.5** RAM shall ensure dispatch to the **Action Officers** within one working day for action.

**8.1.6** RAM shall ensure that incoming Cheques are received, entered in the cheques register and forwarded to Accounts for further processing.

## **8.2 OUTGOING MAIL**

**8.2.1** RAM shall ensure that all official out going mail are received by the Records office

**8.2.2** RAM shall ensure correctness of addresses and enclosures and record in outward correspondence register.

**8.2.3** RAM shall ensure that all letters not meeting the verification requirements shall be returned to the originator.

**8.2.4** RAM shall ensure that all mail meeting the verification requirements are weighed franked and dispatched on daily basis.

## **9. OUTPUTS**

**9.1** Mail received/dispatched.

## **10. RECORDS**

**10.1** Incoming Correspondence register

**10.2** Outgoing Correspondence Register

**10.3** Incoming Cheque register

## **11. KEY PERFORMANCE INDICATORS**

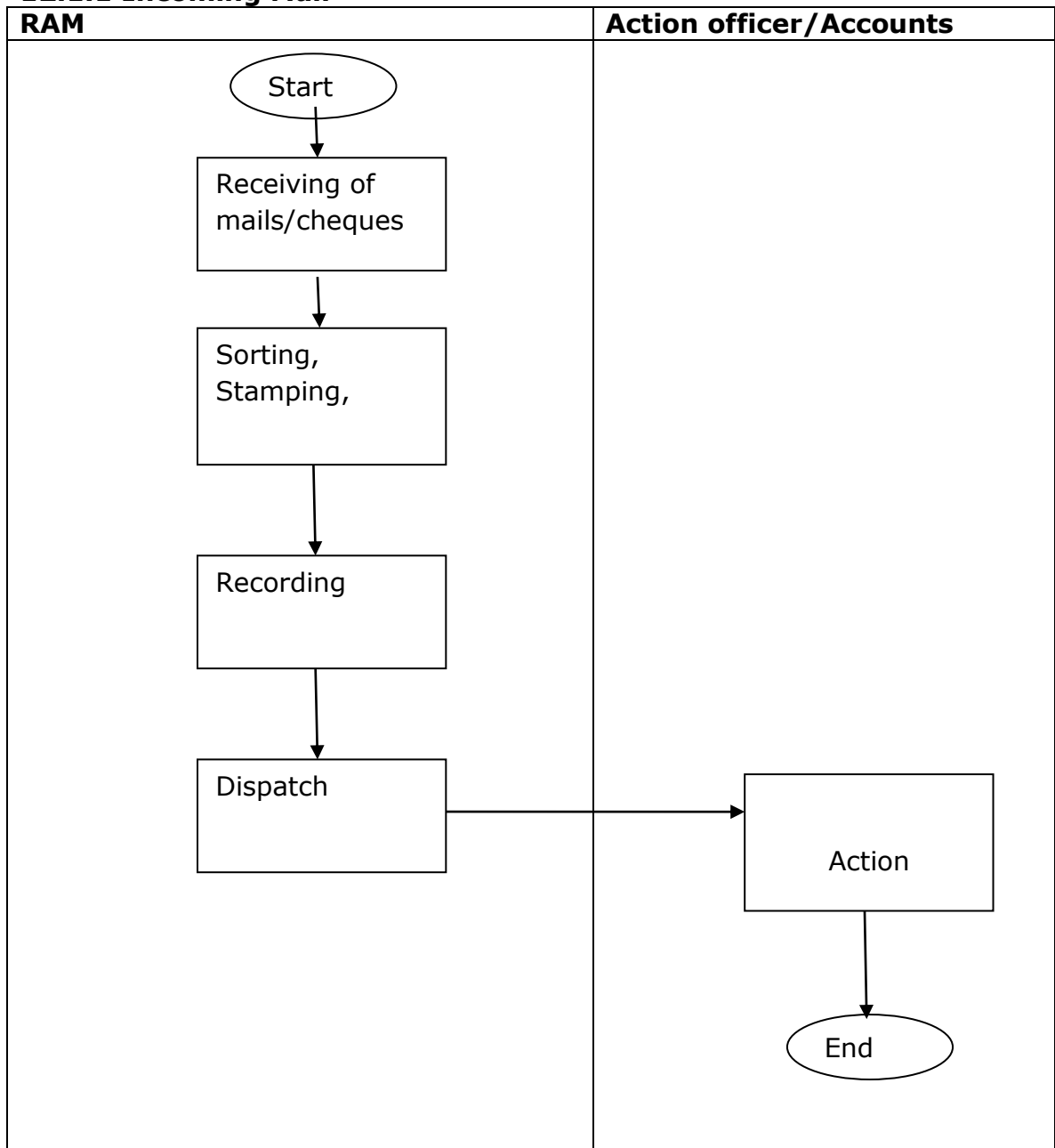
**11.1** Number of incoming mail received and dispatched within one days of receipt.

**11.2** Number of outgoing mail dispatched.

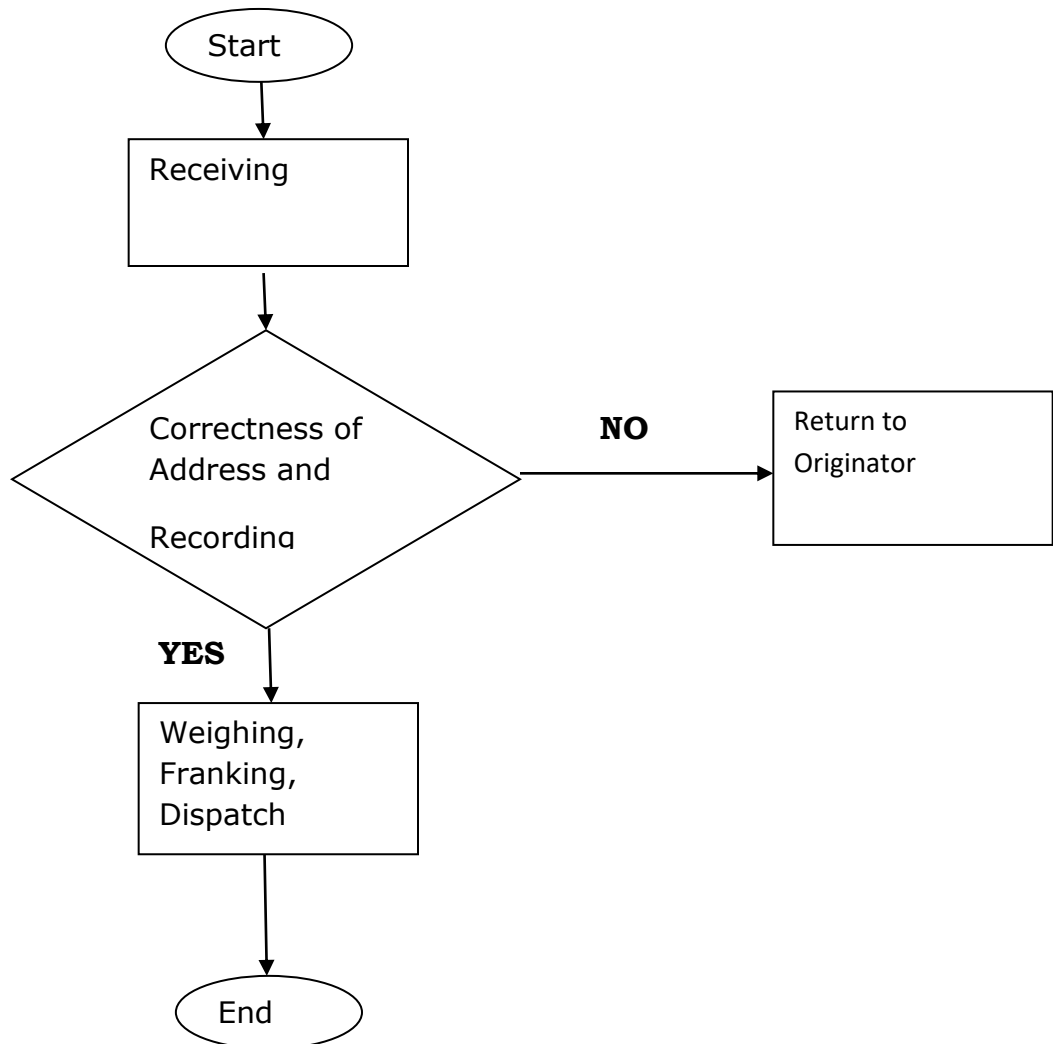
## 12. APPENDICES

### 12.1 FLOWCHART

#### 12.1.1 Incoming Mail



### 12.1.2 Outgoing Mail



**12.2 RECORD OF CHANGE**

<b>No.</b>	<b>Date</b>	<b>Details Of Change</b>		<b>Authorization</b>
	<i>dd-mm-yy</i>	<b>Page</b>	<b>Clause/sub-clause and comment</b>	<b>Name and signature</b>

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**12.3 INWARD CORRESPONDENCE REGISTER-FROM POST OFFICE**

<b>LETTER NO</b>	<b>DATE</b>	<b>SENDER</b>	<b>SUBJECT</b>	<b>FOLIO</b>	<b>OFFICER TO SEE</b>

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**12.4 INWARD CORRESPONDENCE REGISTER HAND DELIVERY AND COURIER**

<b>DATE</b>	<b>SENDER AND SUBJECT</b>	<b>OFFICER TO SEE</b>	<b>FOLIO</b>	<b>MODE OF DELIVERY</b>



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**12.5 OUTWARD CORRESPONDENCE REGISTER POST OFFICE**

DATE	ADDRESSEE	SENDER (COLLEGE OR HOTEL)	COST

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**12.6 INWARD CHEQUE REGISTER**

CHEQUE DETAILS	AMOUNT	OFFICER RECEIVING	SIGNATURE	SIGNATURE OF CASHIER AND RECEIPT NO

**PROCEDURE FOR RECORDS MANAGEMENT****2. PURPOSE**

To ensure safe keeping and easy retrieval of records and documents

**3 SCOPE**

This procedure covers the creation/receipt, maintenance and use, archiving and disposal.

DOCUMENTED INFORMATION FOR RECORDS DEPARTMENT

4.	<b>REFERENCES</b>
1.	KUC Records management department procedures manual
2.	KUC Filing index
3.	KUC Records management policy
4.	KUC Records Retention and Disposal Policy
5.	KUC Strategic plan.
6.	Kenya National Archives and Documentation Service Act - Cap 19
7.	Directorate of personnel management circular
8.	Circular No.DPM.12/6a vol.1 (71)
9.	Office of the president Circular No.OP.1/48A/66 on

"Destruction of non - current Government records" dated 28<sup>th</sup> November, 1985.

10. Office of the president Circular No.op1/48A/11/10 on "Depositing of Reports and other generally circulated in the Kenya National Archives" dated 7<sup>th</sup> July 1989.

11. Public procurement and Disposal Act, 2005

12. Public procurement and Disposal Regulations 2006

## **6. RESPONSIBILITIES**

The Records and Archives Manager shall be responsible for the Records Management functions.

## **7. INPUTS**

### **Documents and records**

- 7.1** Files
- 7.2** Cabinets
- 7.3** Guide to Archives
- 7.4** Filing Index

## **8. METHOD**

- 8.1** The RAM shall ensure that a file is opened whenever a new subject or activity arises and file index is updated.
- 8.2** The RAM shall notify all the relevant officers of the updated file index
- 8.3** RAM shall ensure all documents and records are stored in the Central registry, are easily retrievable and only authorized staff shall have access in records storage area.
- 8.4** RAM shall ensure that every file moving in and out of the records office is recorded in a file movement register.
- 8.5** Action Officers shall not keep files for more than 2 weeks. RAM Shall notify officers of overdue files.
- 8.6** Officers shall maintain file movement register in their office for movement of files to other offices.
- 8.7** RAM shall ensure that file are closed appropriately and entered into closed-files Register.

## **9 OUTPUTS**

- 9.1** Files created
- 9.2** Updated File Index
- 9.3** Files Closed

**10 RECORDS**

**10.1** File movement registers

**10.2** Closed file Register

**10.3** Filling index

**10.4** Guide to Archives

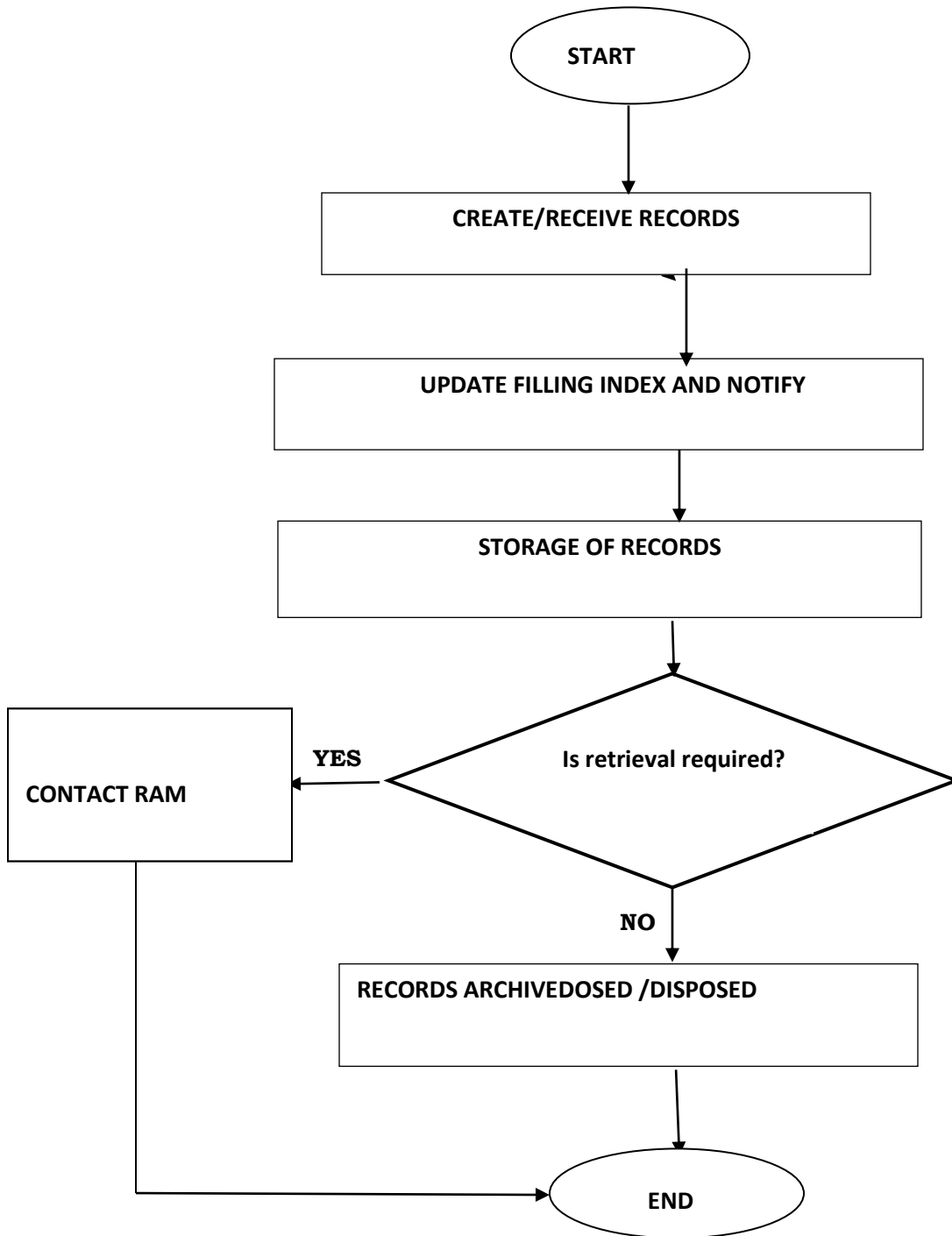
**11 KEY PERFORMANCE INDICATORS**

**11.1** Number of files closed

**11.2** File tracking

**12 APPENDICES**

**12.1 RECORDS MANAGEMENT FLOW CHART**



**12.2 RECORD OF CHANGE**

No.	Date	Details Of Change		Authorization
	<i>dd-mm-yy</i>	Page	Clause/sub-clause and comment	Name and signature

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**12.3 FILE MOVEMENT REGISTER**

Date	File name	File Ref	Status	Requesting officer	Dept	Date returned	Receiving officer	Signature

**SED FILE REGISTER**

Serial Number	File name and Covering Dates	Reference

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**12.5 OVERDUE FILE FORM**

**Staff Name** \_\_\_\_\_ **Date** \_\_\_\_\_

**Staff No** \_\_\_\_\_

According to the Records Department File Movement Register you have kept the following files past date of return.

<b>File Title</b>	<b>File Issue Date</b>	<b>File Due Date</b>

Please note that:

- Records procedures state that action officers should not keep files for more than two working days and in case of extension they should inform the records office.

Please return as soon as possible.

\_\_\_\_\_  
**In charge of Records Office**

**SECTION C: OPPORTUNITIES**

DOCUMENTED INFORMATION FOR RECORDS DEPARTMENT

RECORDS OPPORTUNITIES					
OPPORTUNITY	ACTIONS	RESOURCES	RESPONSIBILITY	TIMELINES	KPI
INVESTING ON ELECTRONIC RECORDS MANAGEMENT SYSTEMS	DIGITIZING THE MANUAL RECORDS	COMPUTERS SCANNERS INTERNET COMPETENT STAFF CAMERAS SOFTWARE	RAM ICT MANAGER	2020/2021	RUNNING AUTOMATED SYSTEM.  Digitized Records.



DOCUMENTED INFORMATION FOR RECORDS DEPARTMENT

**SECTION D: RISKS**

RISK REGISTER RECORDS DEPARTMENT										
No	DESCRIPTION OF RISK	TYPE OF RISK	PROBABILITY OF OCCURANCE			SEVE RITY HIGH - 3 MEDI UM -2 LOW - 1	IMPACT	MITIGATI ON	RE SP O NS IBI LI TY	KPI
			HIG H	MEDI UM	LO W					
1	Delayed information and decision making due to delay of mail dispatch.	operation al				3	Delayed service delivery	Proper mail managem ent	RA M	Timely mail dispatch (within one day of receipt.
2	Loss of Mail	operational				3	Poor service delivery  loss of information	Proper registrati on of all incoming and outgoing mail	RA M	Evidence of all received and outgoing mail through registration.
3	Outdated Mail	operational				3	Missed business opportuniti es	Picking mail from post office on Daily basis.	RA M	Evidence of Mail registered and dispatched within one day of receipt,
4	Loss of documents through Natural disasters	Environme ntal		✓		3	Loss of /destructio n information	Put in place disaster prepared ness measures . Proper records storage areas(purpose built storage area.		Secured documents
5	Lack of Records management software	financial		✓		3	Storage space challenges.	Purchasin g a software		Information sharing.  Information Backup  Easy access to information by authorized staff.