



# THE UNIVERSITY OF NAIROBI



## **STAFF INTEGRITY IN HANDLING DOCUMENTS AND RECORDS: THE CASE FOR SECURITY OF INFORMATION**

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# SUMMARY OF THE PAPER



- \* **THE PURPOSE OF THIS PRESENTATION**
- \* **THE OBJECTIVES OF THE PAPER**
- \* **DEFINING THE TERM RECORDS**
- \* **EXPLAINING IMPORTANCE OF RECORDS**
- \* **PRUDENT MANAGEMENT OF RECORDS**



# SUMMARY.....2



- \* **BENEFITS OF MANAGING RECORDS WELL**
- \* **INTEGRITY AND ETHICAL ISSUES**
- \* **GOOD ATTRIBUTE OF STAFF**
- \* **GUIDELINES IN PLACE**
- \* **STAFF RESPONSIBILITY**
- \* **CONCLUSION**



# PURPOSE



## **PURPOSE:**

- \* This paper is meant to awaken the thinking of UON staff on matters of safety and security of records and document



# OBJECTIVE



## OBJECTIVE.

- \* To enable the participants to re-evaluate their actions with regards to management of University records and documents-information generally.



# WHAT ARE RECORDS?



“Information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of Business”: **Source-**

**ISO 15489 Standard**



# RECORDS MANAGEMENT



- \* Field of management responsible for the **efficient and systematic control of the creation, receipt, maintenance, use and disposition of records**, including processes for capturing and maintaining evidence of and information about **business activities** and transactions in the form of records.



# IMPORTANCE OF RECORDS



- \* Records are important component of corporate governance. Any organization in business is judged on the basis of performance- good or bad performance





# IMPORTANCE OF RECORDS



- In the public sector, where tax payers' money is used to fund activities and operations of various offices set up for the welfare of the people, it is only fair that resources are used for the intended purposes. The evidence of prudent use of public resources is found in records.



# IMPORTANCE OF RECORDS



The level of efficiency and accountability in a public organization is dependent on how well that organization manages its information resources- both manual and electronic records.



# PRUDENT MANAGEMENT OF RECORDS



Management of records in a professional manner and in a manner internationally acceptable requires the following:

- Adherence to the Constitution of Kenya 2010 and relevant laws governing the management of public sector records



# PRUDENT MGT OF RECORDS



- \* Existence of records management policy framework
- \* Existence and implementation of sound records classification and indexing schemes
- \* Application and implementation of sound records retention and disposal schedule



# PRUDENT MGT OF RECORDS



- \* Improvement of housing for records
- \* Purchase of sound records storage equipment
- \* Adherence to procedure manuals and regulations issued from time to time by the Government and the parent body



# PRUDENT MGT OF RECORDS



- \* Informed workforce who are educated, practice good organizational culture and uphold integrity.
- \* Increased use of appropriate technology.



# BENEFITS OF PRUDENT MGT OF RECORDS



- \* Proper coordination and control of receipt of in-coming mail for accountability, identification, accessibility and use
- \* Efficient coordination of the creation of mail within established pre-determined file plan for ease of filing, identification, maintenance and storage



# BENEFITS OF MANAGING RECORDS PROFESSIONALLY



## RESULTS IN:

- \* Well established procedure for control of mail and files in the registries and offices
- \* Efficient and systematic filing of correspondences in well labeled and referenced files





# BENEFITS



- \* Sound storage of current and closed records in appropriate rooms, environment and equipment for ease of identification and access during retrieval
- \* Well established records units- registries and storage rooms



# BENEFITS



- \* Adequate staffing in records management units/ and staff with proper skills and experience
- \* Prompt records disposition



# BENEFITS



- \* Informed staff
- \* Efficient and effective use of information
- \* Secured information at all times



# INTEGRITY AND ETHICAL ISSUES



- ❖ In Ethics, integrity is regarded as the honesty and truthfulness or accuracy of one's actions. Integrity is adherence to moral and ethical principles; soundness of moral character; honesty.



# INTEGRITY AND ETHICAL ISSUES



- \* When we talk about integrity and ethical issues in records management, we refer to good attributes that result in creation and receipt of authentic and reliable records and information.



# GOOD ATTRIBUTES OF STAFF



- \* A person who:
- \* Understands the vision and mission of the organization
- \* Know and cherish the core values of the organization



# GOOD ATTRIBUTES



- \* Understands the importance and values of records
- \* Respects the laws governing management of records
- \* Able to apply and implement records management policy
- \* Able to apply systems and procedures in place for management of records



# GOOD ATTRIBUTES



- \* Upholds honesty in creation, receipt and use of records
- \* Knows how to differentiate different categories of classified information
- \* Knows that information must not be recklessly handled and disseminated





# GOOD ATTRIBUTES



- \* Understands the official channel of giving/releasing information to a third party
- \* Does not get tempted to steal information for personal gain
- \* Does not get tempted to hide information for personal gain



# GOOD ATTRIBUTES



- \* Does not get tempted to destroy information for whatsoever reason
- \* Does not corrupt information to conceal criminal activity

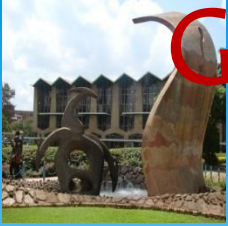


# GUIDELINES AND STAFF RESPONSIBILITY



All public officers, regardless of grade or rank, follow the following:

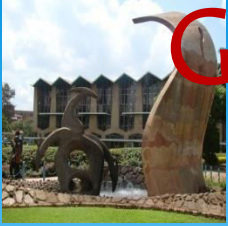
- \* The current constitution
- \* Code of ethics
- \* Relevant Acts of Parliament



# GUIDELINES AND STAFF RESPONSIBILITIES



- \* Policies of parent organizations
- \* Systems and procedures set out by the Government and parent organizations
- \* Circulars issued from time to time by the Government and parent organizations
- \* Service charter



# GUIDELINES AND STAFF RESPONSIBILITIES



- \* Any rule set out by the parent organization
- \* International Standards adopted by the parent organization
- Personal common sense
- All these form the culture of a public servant.



# CONCLUSION.



- ❖ It is an individual's choice to work for the University of Nairobi, once offered an appointment. Once you are inside and accept to work and earn your living as a member of staff of the University of Nairobi, you must respect the rules and regulations set by the Management and the Government of Kenya- with regards to management of public sector records and information.



# CONCLUSION



- \* If you do not want to respect the rules set out, then you must leave at the earliest possible time. You must not engage in unethical conduct of mismanagement of records and information. You may do it today and even tomorrow, but be assured that you will be held personally responsible.



# CONCLUSION



- \* If you know that you are carrying out records management responsibilities, but you have no skills and ability, **better acquire the required skills and ability or ask to be redeployed somewhere else.**





YES WE CAN



\*THANK YOU



# REFERENCE AREAS UON DOCUMENTS



## UON CORE VALUES:

- \* BULLET 2: GOOD CORPORATE GOVERNANCE
- \* BULLET 5: PROFESSIONALISM
- \* BULLET 6: RESPONSIBLE CITIZENSHIP
- \* BULLET 8: TEAM SPIRIT AND T. WORK



# REFERENCE AREAS: UON DOCUMENTS



## POLICY ON RECORDS MANAGEMENT:

**SECTIONS: 4.1, 4.1.1, 4.1.2, 4.2, 4.3.2, 5.0,  
6.0 AND 6.5**

# UON/OP/02: PROCEDURE FOR CONTROL OF RECORDS



## SECTIONS:

1. PURPOSE
2. OBJECTIVES
6. RESPONSIBILITIES
- 7.6. RECORDS STORAGE AND PROTECTION



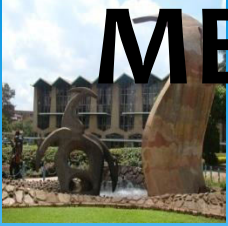
# UON CIRCULAR: RM COMMITTEES



CIRCULAR ISSUED BY THE DVC  
(A & F)

ON AUGUST 2, 2010

Directed the establishment of  
RMC's in all colleges.

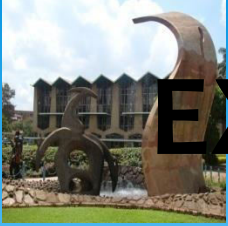


# MEMO ON STREAMLINING FLOW OF MAIL



MEMO ISSUED BY THE DVC (A&F) ON  
FEBRUARY 7, 2013

**DIRECTED ALL COLLEGE REGISTRARS TO  
ENSURE THAT REGISTRY STAFF IMPLEMENT  
SECTIONS 4.1 AND 4.2 OF THE R.M POLICY**



# EXTERNAL DOCUMENTS



## THE PUBLIC ARCHIVES AND DOCUMENTATION SERVICE ACT, CAP 19.

### SECTIONS 7 AND 8



# OP CIRCULAR- 28/11/1985



**REF: OP.1/48A/66 ON**

**DESTRUCTION OF NON-CURRENT  
GOVERNMENT RECORDS**





# ISO STANDARDS: 15489



## INFORMATION AND DOCUMENTATION- RECORDS MANAGEMENT.

### SEC: 4 – BENEFITS OF RM

#### 6- RESPONSIBILITIES

#### 7.1 – PRINCIPLES OF RM PROGRAMME

#### 7.2.4 – INTEGRITY