



REPUBLIC OF KENYA



COUNCIL OF LEGAL EDUCATION

RECORDS & ARCHIVES MANAGEMENT POLICY

2024

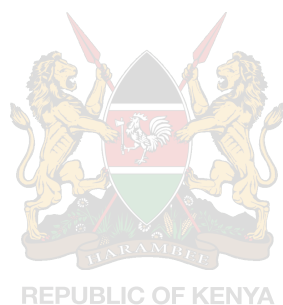




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CCTV	Closed-Circuit Television
KSL	Kenya School of Law
NCAJ	National Council on Administration of Justice
MOU	Memorandum of Understanding
ICT	Information Communication and technology
CEO	Chief Executive Officer
CLE	Council of Legal Education
EDMs	Electronic Document Management systems.
ISO	International Organization for Standardization
PFM	Public Finance Management





The Council of Legal Education (CLE) is a State Corporation established by the Legal Education Act, Cap. 16B of Laws of Kenya. CLE has existed since 2014 when it formally separated from the Kenya School of Law. It is mandated to regulate, supervise, and license legal education programs and legal education providers in Kenya. In addition, it administers the Advocates Training Programme (ATP) examination for admission to the Roll of Advocates in Kenya and advises the government on matters germane to legal

education and training.

Effective records management is essential for the smooth operation of any organization. It ensures that records are created, maintained, and disposed of in a manner that supports organizational goals, complies with legal requirements, and promotes transparency and accountability. This Records Management Policy provides the framework for managing records throughout their lifecycle—from creation and use to retention and eventual disposal.

The Council of Legal Education guided by its mission of ensuring quality legal education through responsive regulation and administration of Bar Examination and the vision of Innovative legal professionals transforming society, generates increasing amounts of data and it is more important than ever to establish clear guidelines and procedures for managing information. This Records and Archives Management Policy aims to safeguard valuable CLE records, reduce risks associated with mismanagement or non-compliance, and ensure that records are accessible, reliable, and protected from unauthorized access.

I call upon CLE staff to adhere to this policy which is aimed at contributing to an effective records management system, ensuring that CLE remains organized, efficient, and compliant with applicable laws and regulations. The Management will continuously sensitize staff to ensure they understand their roles and responsibilities in maintaining the integrity and security of records and foster a culture of accountability and stewardship.

FOREWORD

Finally, on behalf of the Council, I reiterate our full support for the implementation of this Policy. I wish also to express my gratitude to the Management for ensuring that this Policy was developed as scheduled.



Prof. Collins Odote Oloo,
CHAIRPERSON
COUNCIL OF LEGAL EDUCATION





Effective records management is vital for protecting the integrity of organizational information, supporting decision-making processes, and ensuring transparency. This policy is designed to meet CLE's evolving needs promote best practices and align with industry standards. It provides a standard framework for record creation, preservation, use, storage, protection, retention, and disposal in line with existing legal and regulatory requirements.

The development of this Records and Archives Management Policy would not have been possible without the contributions of many individuals across CLE. I acknowledge the invaluable support and leadership accorded by the Council Members under the leadership of Prof. Collins Odote for their strategic guidance and continued support.

I would like to extend our sincere appreciation to the Records and Knowledge Management Committee who contributed expertise in researching, drafting, and reviewing the content of this policy and to see it come to fruition finally. Special thanks go to the Records Management Unit for their invaluable expertise and for guiding the process to ensure that the Policy aligns with relevant laws and regulations. Additionally, I recognize the feedback provided by staff members which was instrumental in crafting a Policy that is practical and applicable to all areas of CLE.

This Policy is a product of collaborative effort and a shared commitment to maintain high standards of record-keeping. As we embark on the implementation journey, CLE will continue to build and strengthen collaborations and partnerships with its stakeholders to ensure the policy is actualized.

Ms. Jennifer Gitiri, HSC
Ag. SECRETARY/CEO
COUNCIL OF LEGAL EDUCATION.

APPROVAL OF THE RECORDS AND ARCHIVES MANAGEMENT POLICY

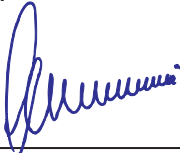
This Records and Archives Management Policy was duly adopted and approved by the Council of Legal Education at its meeting held on the

14th day of October 2024.

This Policy shall be reviewed as and when necessary. All amendments will be communicated in writing using the amendment sheet below. This will provide assurance that the Records and Archives Management Policy remains consistent with the Council's mandate, objectives, roles and responsibilities.



Chairperson
COUNCIL OF LEGAL EDUCATION



Ag. Secretary/Chief Executive Officer
COUNCIL OF LEGAL EDUCATION

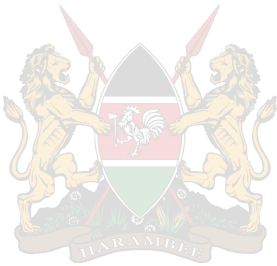


REPUBLIC OF KENYA



AMENDMENT SHEET

Issue/Revision No	Subject of Amendments	Reviewed By (Signature)	Review Authorized by (Signature)	Date



REPUBLIC OF KENYA



DEFINITION OF KEY TERMS

Accessibility: The availability and ease of access to records for consultation as a result of both legal authorization and the existence of retrieval tools.

Appraisal: The Process of determining the value of records in order to establish the disposal action.

Archives: Refers to records accumulated by an organization or person in the course of their business, and preserved because of their enduring value.

Records Classification and Indexing Scheme: Refers to the 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.

Council: Refers to the Council of Legal Education established under the Legal Education Act, Cap. 16B Laws of Kenya;

Disaster Management Plan: refers to an organized scheme of procedures for mitigating natural or man-made disasters and facilitating recovery of records in the event of a disaster.

Document: refers recorded information in any format which can be treated as a unit.

Electronic Record: refers to 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.

Electronic Document Management System: refers to any electronic system that manages the capture, storage, location and retrieval of records, either in paper or electronic format.

Filing Systems: refers to any logical and systematic arrangement for classifying records into subject groups or categories based on the definite scheme of natural relationships representing numerals, prefixes, or keywords for identification.

Innovation: the process of creating and implementing new or significantly improved products, services, processes, or ideas to address a need, solve a problem, or meet a market demand. It involves the application of creativity, experimentation, and strategic thinking to bring about positive change and enhance value.

Kenya Gazette Notice: is an official government publication containing notices of new legislation, notices required to be published by law or policy as well as other announcements that are published for general public information.

DEFINITION OF KEY TERMS

Open-Source Software: refers to software developed and maintained through open collaboration. It is made available for anyone to use, examine, alter and redistribute however they like, typically at no cost.

Preservation: refers to all measures taken including financial and strategic decisions, to maintain the integrity and extend the life of records.

Record: refers to information created or received and maintained by an agency, organization or individual pursuant to legal obligations or in the transaction of business.

Records Centre: refers to the facility for the low-cost storage, maintenance, reference and use of semi-current records pending their ultimate disposal.

Records Disposal: refers to 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.

Records Management: refers to the systematic control of all records from their creation or receipt through processing, retrieval, distribution and use, to their ultimate preservation and disposal.

Records & Archives Management Committee: refers to the Committee appointed to provide advice and address issues and concerns in an organization relating to records management. The Committee shall have representation from all Directorates/Divisions/Units.

Records Management Unit: means Division/Section responsible for the management of Records in the Council of Legal Education.

Head of Records: refers to the person responsible for the management of Records in CLE.

Records Retention and Disposal Schedules: control document describing the records of an organization establishing retention periods and providing legal authorization for their disposal.

Records Retrieval: refers to locating and delivering records for use.

Records Storage: refers to the preservation measures for keeping records under defined conditions and permitting their retrieval or the information contained in them.

Retention Period: refers to periods that records should be retained in their offices of origin or records centers before they are transferred to the Archives for preservation or otherwise destroyed.

Staff: any person employed by the Council on contract or permanent and pensionable terms.

1.CLE VISION, MISSION AND GOAL

Vision

Innovative legal professionals transforming society.

Mission

To ensure quality legal education through responsive regulation and administration of Bar examination.

Goal

Transformative legal education and training in Kenya.

Core Values

- a) Accountability
- b) Excellence
- c) Integrity
- d) Inclusiveness
- e) Innovation



2.1 Statement of Purpose

2.1.1 The purpose of this Records and Archives Management Policy is to establish guidelines for the identification, protection, and management of records generated by Council or created for the Council by its staff, and stakeholders. This policy aims to ensure that Council's records are appropriately safeguarded, utilized, and respected in alignment with the Council's goals.

2.1.2 The Council regards effective and best practices in the management of records, results of its activities are regarded as public goods and is committed to their widespread diffusion and use to achieve the maximum possible impact in records and archives management for the betterment of legal education and training in Kenya.

2.2 Objectives

The objectives of this Records and Archives Management Policy are to:

- (a) Ensure that records & archives management procedures and practices adopted by CLE comply with legal and regulatory requirements as well as international best practice standards.
- (b) Ensure well-coordinated records & archives management program, with clearly stipulated procedures, practices, systems and standards as a core business activity underpinning all functions and activities of CLE.
- (c) Assign roles and responsibilities for records & archives management activities to a competent and well-trained team, this includes creating awareness to CLE staff on the importance of effective records and archives management practices.
- (d) Ensure the safety and security of records in CLE, including vital records, are adequately secured, protected and safeguarded in a manner commensurate with their value and use.
- (e) Ensure CLE's continuous development and modernization of records and archives management through adoption of modern technologies and systems by ensuring that electronic/digital as well as other technology-dependent records are maintained in a manner guaranteeing their authenticity, accessibility and usability.

2.3 Scope

This policy shall apply to;

- (a) All CLE staff, individuals and stakeholders associated with the CLE including all

3.RECORDS & ARCHIVES MANAGEMENT ACTIVITIES

Council activities that may generate and use records.

- (b) All records and archive functions including operations by the Council and its staff, including its stakeholders.

3.1 Management of Safety & Security of Physical and Electronic Records

- 3.1.1 CLE Records Management Storage Centres shall be under 24-hour surveillance with CCTV Cameras Installations put in place to enforce security and physical access.
- 3.1.2 The Records Center storage areas shall be out of bounds to unauthorized persons unless a grant is given by the Chief Executive Officer on special circumstances.
- 3.1.3 All physical access points to the records storage units shall be by use of biometrics.
- 3.1.4 Access to CLE Electronic Records shall be through passwords which shall be issued by the ICT Division.
- 3.1.5 The CLE E- records storage points within the system shall be protected against external attacks i.e. hacking of the systems by ensuring that records and data storage is done offsite including by ensuring that the firewalls protecting the information and data are up-to-date and regularly renewed.
- 3.1.6 In line with ISO 900:2015 procedures on records and archives management, records control registers shall be used to access and move physical files between operational directorates/divisions/units this shall apply to mail management, where external mail and files are circulated the records management control tools to ensure accountability of all mail movement within CLE.

3.2 File Classification Referencing and Indexing Schemes:

CLE shall generate a records classification and indexing scheme that will support proper storage of records and correspondence referencing both physically and electronically by adopting the use of the following records classification and indexing schemes in the management of records and file.

3.RECORDS & ARCHIVES MANAGEMENT ACTIVITIES

Human Resource and Performance Management Division		
1	HR General Correspondences	CLE/HR/GEN/VOL.1
2	PSC Correspondences	CLE/HR/PSC/VOL.1
3	Internal Memos	CLE/HR/MEMO/VOL.
4	Various HR Committee Meeting	CLE/HR/MEMO/VOL.1
5	Internship and Attachments	CLE/HR/I&A/VOL.1
6	Car and Mortgage Scheme	CLE/HR/C&M/VOL.1
7	Pension	CLE/HR/PEN/VOL.1
8	Departmental Minutes, Plans and Reports	CLE/HR/MPR/VOL 1
9	Payroll Documents	CLE/HR/PAY/VOL.1
10	Internal and External Audit Documents	CLE/HR/IE/VOL.1
11	ISO 9001:2015	CLE/HR/ISO/VOL.1
12	Circulars	CLE/HR/CIRC/VOL.1
13	Performance Contracting	CLE/HR/PC/VOL.1
14	HR Policy Instruments	CLE/HR/HPI/VOL.1
15	Team Building	CLE/HR/TB/VOL.1
16	HR Process Requisition and Approvals	CLE/HR/REQ/VOL.1
17	Recruitment	CLE/HR/REC/VOL.1
18	Staff Training	CLE/HR/ST/VOL.1
19	Performance Appraisal	CLE/HR/PAS/VOL.1
20	Insurance Correspondences	CLE/HR/IC/VOL.1
Administration Unit		
1	General Administration correspondences	CLE/ADM/GEN/VOL.1
2	Transport and Logistics	CLE/ADM/TM/VOL.1
3	Vehicle Repairs and Maintenance	CLE/ADM/VM/VOL.1
4	Administration and General Maintenance	CLE/ADM/AM/VOL.1
5	Work Tickets	CLE/ADM/WT/VOL.1
Internal Audit Division		
1	General	CLE/DIA/GEN/VOL.1
2	MEMOS	CLE/DIA/MEMO/VOL.1
3	ISO	CLE/DIA/ISO/VOL.1

3.RECORDS & ARCHIVES MANAGEMENT ACTIVITIES

4	Plans	CLE/DIA/PLANS/VOL.1
5	Audit & Risk Committee Matters	CLE/DIA/A&R/VOL.1
6	Internal Audit Reports	CLE/DIA/REP/VOL.1
7	Performance Appraisal & Target Setting	CLE/DIA/PAS/VOL.1
Planning & Strategy Division		
1	General Letters	CLE/PSD/GEN/VOL. 1
2	Performance Contract	CLE/PSD/PC/VOL. 1
3	Strategic Plan	CLE/PSD/SP/VOL. 1
4	Memos	CLE/PSD/MEMO/VOL. 1
5	Work Plan, Procurement Plan and Budget	CLE/PSD/PLANS/VOL.1
6	Reports	CLE/PSD/RPT/VOL. 1
7	Performance Appraisal	CLE/PSD/PA/VOL. 1
8	Productivity	CLE/PSD/PROD/VOL. 1
9	Monitoring and Evaluation	CLE/PSD/ME/VOL. 1
10	Research	CLE/PSD/RES/VOL. 1
11	Annual Report	CLE/PS/AR/VOL. 1
12	ISO 9001:2015	CLE/PSD/ISO/VOL1
Finance and Accounts Division		
1	General Letters	CLE/FA/GEN/VOL. 1
2	Authority to Incur Expenditure	CLE/FA/AIE/VOL. 1
3	Budgets	CLE/FA/BUD/VOL. 1
4	Payment Vouchers	CLE/FA/PV/VOL. 1
5	Bar Examination Loan	CLE/FA/BEL/VOL. 1
6	Bank Reconciliation	CLE/FA/BR/VOL. 1
7	Audited Financial Statements	CLE/FA/AFS/VOL. 1
8	Memos	CLE/FA/MEMO/VOL.1
9	Work Plan, Procurement Plan and Budget	CLE/FA/PLANS/VOL.1
10	Performance Contracting evidence	CLE/FA/PC/VOL. 1
11	Reports	CLE/FA/RPT/VOL. 1
12	Performance Appraisal System	CLE/FA/PAS/VOL. 1

3.RECORDS & ARCHIVES MANAGEMENT ACTIVITIES

	Examination Directorate	
1	Appointment Letters Staff	CLE/DE/ALS/VOL.1
2	Candidate's irregularities	CLE/DE/IRREG/VOL.1
3	Candidates with Disabilities and Special requests	CLE/DE/PWDs/SR/VOL.1
4	CLE ISO: 9001:2015	CLE/DE/ISO/VOL.1
5	Complaints and Compliments	CLE/DE/CC/VOL.1
6	Completion of Pupillage Certificates (KSL)	CLE/DE/PCC/VOL.1
7	Compliance Certificates	CLE/DE/CCERT/VOL.1
8	Correspondence from other Institutions	CLE/DE/CIS/VOL.1
9	Correspondence on Remark	CLE/DE/CR/VOL.1
10	Correspondence on Transcripts	CLE/DE/CT/VOL.1
11	Directorate's Minutes	CLE/DE/DM/VOL.1
12	Examination Steering Committee	CLE/DE/EST/VOL.1
13	Examination Venues	CLE/DE/VEN/VOL.1
14	Filled Conflict of Interest Forms	CLE/DE/CIF/VOL.1
15	General Correspondence	CLE/DE/GEN/VOL.1
16	Guidelines for Invigilators	CLE/DE/GD/I/VOL.1
17	BEL	CLE/DE/BEL/VOL.1
18	Memos	CLE/DE/MEMO/VOL.1
19	Invigilators Appointment letters	CLE/DE/AL/I/VOL.1
20	Invigilators Attendance Register	CLE/DE/REG/I/VOL.1
21	Kenya Gazette	CLE/DE/KG/VOL.1
22	KNEC	CLE/DE/KNEC/VOL.1
23	Kenya School of law	CLE/DE/KSL/VOL.1
24	Legislations	CLE/DE/LEG/VOL.1
25	Marking Guidelines and Assessments Forms	CLE/DE/GD/M/VOL.1
26	PC Evidence	CLE/DE/PE/VOL.1
27	Reports	CLE/DE/RPT/VOL.1
28	Student Clearance Reports- For Gazettement	CLE/DE/STD.CL/VOL.1

3.RECORDS & ARCHIVES MANAGEMENT ACTIVITIES

	Test Development Division	
1	Appointment letters for Setting	CLE/DE/TD/ALST/VOL.1
2	Guidelines for Setting	CLE/DE/TD/GD/ST/VOL/1
3	Registers for Setting	CLE/DE/TD/REG/ST/VOL.1
4	Feedback forms for Setting	CLE/DE/TD/FDBK/SET/VOL.1
5	Appointment letters for Moderators of Qns	CLE/DE/TD/ALMOQ/VOL.1
	Legal Services Division	
1	General Letters	CLE/LD/GEN/VOL.1
2	Council Letters	CLE/LD/CL/VOL.1
3	Contracts	CLE/LD/CONT/VOL.1
4	Litigation files	CLE/LD/LIT/VOL.1
5	MOUs	CLE/LD/MOU/VOL.1
6	MEMO	CLE/LD/MEMO/VOL.1
7	Reports	CLE/LD/RPT/VOL.1
8	Minutes	CLE/LD/MIN/VOL.1
9	Notices	CLE/LD/NOT/VOL.1
10	Council Resolution	CLE/LD/RES/VOL.1
11	Almanac, Annual Work Plan, Budget and Procurement plan	CLE/LD/PLANS/VOL.1
12	ISO	CLE/LD/ISO/VOL.1
13	Committee	CLE/LD/CMTE/VOL.1
14	Acts	CLE/LD/ACTS/VOL.1
15	Circulars	CLE/LD/CIR/VOL.1
16	Performance Contracting	CLE/LD/PC/VOL.1
	ICT Division	
1	General Correspondences	CLE/ICT/GEN/VOL.1
2	Inventory Management	CLE/ICT/ INV / VOL.1
3	User Support	CLE/ICT/US/ VOL.1
4	Change Management	CLE/ICT/CM/ VOL.1
5	Preventive Maintenance (Internal)	CLE/ICT/PMI/ VOL.1
6	Strategic Planning	CLE/ICT/SP/ VOL.1

3.RECORDS & ARCHIVES MANAGEMENT ACTIVITIES

7	ICT Trainings	CLE/ICT/ICTT/ VOL.1
8	Website Management	CLE/ICT/WEB / VOL.1
9	ISO Documentation	CLE/ICT/ISO / VOL.1
10	ICT Memos	CLE/ICT/MEMO / VOL.1
11	ICT Reports	CLE/ICT/RPT / VOL.1
12	Job cards (External)	CLE/ICT/JCE / VOL.1
Public Communication Division		
1	Images	CLE/PC/IMG/VOL1
2	Manuals	CLE/PC/MAN/VOL1
3	Service Charter	CLE/PC/SC/VOL1
4	Incoming calls register	CLE/PC/ICR/VOL 1
5	Onsite visitors register	CLE/PC/OVR/VOL1
6	Outgoing Calls register	CLE/PC/OCR/VOL 1
7	Newsletters Magazine	CLE/PC/NEWS/VOL 1
8	Documentary	CLE/PC/DOCU/VOL. 1
9	Incoming Mail Register	CLE/PC/IMR/VOL. 1
10	ISO 9001:2015	CLE/PC/ISO/VOL 1
11	Corruption Risk and Mitigation Plan	CLE/PC/CRAMP/VOL 1
12	Committees	CLE/PC/CMTE/VOL 1
13	Legislation	CLE/PC/LEG/VOL1
14	Circulars	CLE/PC/CIRC/VOL 1
15	Performance Contract	CLE/PC/PC/VOL 1
16	Reports	CLE/PC/RPT/VOL 1
17	Communication Strategy	CLE /PC/CS/VOL 1
18	Crisis Management Plan	CLE/PC/CMP/VOL 1
19	Complain Feedback Handling Policy	CLE/PC/CFHP/VOL 1
20	Brand Book	CLE/PC/BB/VOL 1
21	Website Content	CLE/PC/WC/VOL 1
23	Brand Management	CLE/PC/BM/VOL 1
24	Shows & Exhibitions	CLE/PC/EXHBIT/VOL 1
25	Corporate Social Responsibility	CLE/PC/CSR/VOL 1

3.RECORDS & ARCHIVES MANAGEMENT ACTIVITIES

26	Customer Satisfaction Survey	CLE/PC/CSS/VOL 1
27	Customer Relations Management Systems	CLE/PC/CRMS/VOL 1
28	Performance Appraisal	CLE/PC/PAS/VOL 1
29	Plans & Budget	CLE/PC/PLAN/VOL. 1
30	Training & Sensitization	CLE/PC/TS/VOL. 1
SL&SC Directorate		
1	General Correspondence (letters, inquiries)	CLE/SLSC/GEN/VOL.1
2	Proposals and Consultancy	CLE/SLSC/P&C/VOL.1
3	Memos	CLE/SLSC/MEMO/VOL.1
4	Legal Education Evaluators	CLE/SLSC/LEE/VOL.1
5	Circulars	CLE/SLSC/CIR/VOL.1
6	Staff General	CLE/SLSC/SG/VOL.1
7	Almanac, annual work Plans, budget, procurement plans	CLE/SLSC/PLANS/VOL.1
8	ISO 9001: 2015	CLE/SLSC/ISO/VOL.1
9	Performance Contract	CLE/SLSC/PC/VOL.1
10	Research & Projects	CLE/SLSC/RP/VOL.1
11	African Council for Distance Learning	CLE/SLSC/ACDL/VOL.1
12	Trainings/Seminars/Conferences	CLE/SLSC/SC/VOL.1
13	East African Community	CLE/SLSC/EAC/VOL.1
14	SLSC Committee	CLE/SLSC/COMM/VOL.1
15	SLSC Complaints (complaints from students on institutions)	CLE/SLSC/COMP/VOL.1
16	Law Council of Uganda	CLE/SLSC/LCU/VOL.1
17	Ombudsman	CLE/SLSC/CAJ/VOL.1
18	Gazettement	CLE/SLSC/GZT/VOL.1
19	Recognition & Approval of foreign qualifications	CLE/SLSC/RA/VOL.1
20	Admission to the Bar	CLE/SLSC/A-BAR/VOL.1
21	Funded Projects	CLE/SLSC/FP/VOL.1
22	Resolved cases by Council	CLE/SLSC/RC/VOL.1

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23	Legislation	CLE/SLSC/LEG/VOL.1
24	Forms	CLE/SLSC/FM/VOL.1
25	SLSC Reports	CLE/SLSC/RPT/VOL.1
26	Catholic University of Eastern Africa	CLE/SLSC/CUEA/VOL.1
27	Kenyatta University	CLE/SLSC/KU/VOL.1
28	Jomo Kenyatta University of Agriculture & Technology	CLE/SLSC/JKU/VOL.1
29	University of Nairobi	CLE/SLSC/UON/VOL.1
30	Moi University	CLE/SLSC/MU/VOL.1
31	Mount Kenya University	CLE/SLSC/MKU/VOL.1
32	Kabarak University	CLE/SLSC/KABU/VOL.1
33	Pioneer International University	CLE/SLSC/PIU/VOL.1
34	Elgon View College	CLE/SLSC/EVC/VOL.1
35	Africa Nazarene University	CLE/SLSC/ANU/VOL.1
36	Foundation Institute of Africa	CLE/SLSC/FIA/VOL.1
37	MIS Centre, College of Management, Accountancy & Information Technology	CLE/SLSC/MIS/VOL.1
38	Kisii University	CLE/SLSC/KSU/VOL.1
39	Riara University	CLE/SLSC/RU/VOL.1
40	Chuka University	CLE/SLSC/CU/VOL.1
41	Bondo University College of Maseno University	CLE/SLSC/BUCMU/VOL.1
42	Strathmore University	CLE/SLSC/SU/VOL.1
43	Kenya School of Law	CLE/SLSC/KSL/VOL.1
44	The Presbyterian University of East Africa	CLE/SLSC/PUEA/VOL.1
45	Busoga University	CLE/SLSC/BU/VOL.1
46	Leaders Institute	CLE/SLSC/LI/VOL.1
47	Egerton University	CLE/SLSC/EU/VOL.1
48	Umma University	CLE/SLSC/UU/VOL.1
49	Uganda Pentecostal University	CLE/SLSC/UPU/VOL.1
50	Technical University of Kenya	CLE/SLSC/TUK/VOL.1
51	University of Eldoret	CLE/SLSC/UOE/VOL.1

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52	Kenya Institute of Management	CLE/SLSC/KIM/VOL.1
53	Masinde Muliro University	CLE/SLSC/MMU/VOL.1
54	Uganda Christian University	CLE/SLSC/UCU/VOL.1
55	Makerere University	CLE/SLSC/MAK/VOL.1
56	Islamic University in Uganda	CLE/SLSC/IUIU/VOL.1
57	Nkumba University	CLE/SLSC/NU/VOL.1
58	Kampala International University	CLE/SLSC/KIU/VOL.1
59	Mogadishu University	CLE/SLSC/MOG/VOL.1
60	Daystar University	CLE/SLSC/DU/VOL.1
61	Thika Institute of Business Studies	CLE/SLSC/TIBS/VOL.1
62	Embu College of Professional Studies	CLE/SLSC/ECPS/VOL.1
63	Baraton College	CLE/SLSC/BC/VOL.1
64	University of Embu	CLE/SLSC/UoEm/VOL.1
65	Maseno University	CLE/SLSC/MSU/VOL.1
66	South Eastern Kenya University	CLE/SLSC/SEKU/VOL.1
67	National Legal Aid Services	CLE/SLSC/NLAS/VOL.1
68	Paralegal Society of Kenya	CLE/SLSC/PSK/VOL.1
69	Tharaka University	CLE/SLSC/TU/VOL.1
70	Commission for University Education	CLE/SLSC/CUE/VOL.1
71	Embu College of professional Studies	CLE/SLSC/ECPS/VOL.1
72	Jaramogi Oginga Odinga University of Science & Technology	CLE/SLSC/JOOUST/VOL.1
Directorate of Corporate Services		
1	General Letters	CLE/DCS/GEN/VOL.1
2	Directorate's Minutes	CLE/DCS/MIN/VOL.1
3	Performance Appraisal	CLE/DCS/PAS/VOL.1
4	Committee's Appointment Letters	CLE/DCS/APP-L/VOL.1
5	Audited Financial Statements	CLE/DCS/AFS/VOL.1
6	Quarterly Financial Statements & Reports	CLE/DCS/QFS&RPT/VOL.2
7	(Car Loan & Mortgage Scheme)	CLE/DCS/CL&M/VOL.1

3.RECORDS & ARCHIVES MANAGEMENT ACTIVITIES

8	Management Letters Responses on Audited Reports	CLE/DCS/ML/VOL.1
9	Approved Policies	CLE/DCS/AP/VOL.1
10	ISO 9001:2015	CLE/DCS/ISO/VOL.1
11	Circulars	CLE/DCS/CIR/VOL.1
12	Memos	CLE/DCS/MEMO/VOL.1
13	Reports	CLE/DCS/RPT/VOL.1
Supply Chain Management Division		
1	Request for Quotation	CLE/SCM/RFQ/VOL1
2	Tenders	CLE/SCM/TEN/VOL1
3	Request for Proposal	CLE/SCM/RFP/VOL1
4	Reports	CLE/SCM/RPT/VOL1
5	Procurement Plan	CLE/SCM/PP/VOL1
6	Memos	CLE/SCM/MEMO/VOL1
7	Correspondence	CLE/SCM/COR/VOL1
8	Performance Appraisals	CLE/SCM/PA/VOL1
9	Procurement Requisitions	CLE/SCM/PR/VOL1
10	Contracts	CLE/SCM/CONT/VOL1
11	Asset Register	CLE/SCM/AR/VOL1
12	Asset Disposal	CLE/SCM/AD/VOL1
13	Procurement Compliance Reports	CLE/SCM/PCR/VOL1
14	Prequalified Suppliers	CLE/SCM/PS/VOL1
15	Framework Contracts	CLE/SCM/FC/VOL1
16	Performance Appraisals System	CLE/SCM/PAS/VOL1
17	Training - Staff and Suppliers	CLE/SCM/TSS/VOL1
CEO's Office		
1	Performance Contract	CLE/CEO/PC/VOL.1
2	Circulars	CLE/CEO/CIRC/VOL.1
3	Internal MEMOS	CLE/CEO/MEMO/VOL.2
4	ISO 9001:2015	CLE/CEO/ISO/VOL.1.

3.RECORDS & ARCHIVES MANAGEMENT ACTIVITIES

5	National Council On Administration Of Justice (NCAJ)	CLE/CEO/NCAJ/VOL.1
6	CEO General Correspondences	CLE/CEO/GEN/ VOL.2
7	Internal Audit Reports	CLE/CEO/AR/VOL 1
8	Management Meetings	CLE/CEO/MM/VOL.1
9	CEO'S office meetings	CLE/CEO/COM/VOL.1
10	Departmental Monthly Reports	CLE/CEO/ DPT RPTS/VOL.1
11	Daily File	CLE/CEO DF/ VOL.1
12	Staff Matters	CLE/CEO/STF/VOL.1
13	Accreditation Certificate	CLE/CEO/AC/VOL. 1
14	Gazettement	CLE/CEO/GZT/VOL.1
15	Chairperson Correspondence	CLE/CEO/CHC/VOL.1
16	Legal Education Providers Licensing Status	CLE/CEO/LEPS/VOL.1

3.3 File/Records Movement:

Physical file movement shall be done by the use of records/registry control tools and as approved by CLE management. The records control tools shall include file movement registers and bring-up diaries. Electronic File Movement shall be processed through the (EDMS Open-Source Software System) CLE staff shall requisition files through the System.

3.4 Replacement of Lost Files:

Management through the advisory opinion of the Head of Records Management shall at its discretion open temporary files to enable further processing of matters pending search and retrieval of the original file where files are missing. The Head of Records Management shall prepare an inventory of the said files and present quarterly reports to the records management committee for purposes of advising management and facilitating the process of regularization of the replaced files.

3.5 Replacement of Lost/Misplaced Mail Correspondences:

CLE shall be under obligation to request Internal & External Stakeholders for copies of submissions of any reported and misplaced correspondences within a period of three (3) working days from the initial date upon receipt of a report on the missing records.

3.RECORDS & ARCHIVES MANAGEMENT ACTIVITIES

3.6 File Management and Folio Numbering:

CLE Physical files shall be branded and labelled according to operational department activities supported by the approved records classification and indexing scheme, torn and worn-out files shall immediately be replaced with new file folders as and when discovered and retrieved and after a records appraisal exercise has been undertaken. Folio numbering of records shall be marked using (Red Colour). Filling of documents in a respective file shall follow the folio number sequence.

3.7 File Census Exercise:

The Records Management Unit shall carry out a file census exercise regularly. This will assist in determining the number of physical files that are out of the CLE records storage centers and ensuring data accuracy and accountability.

3.8 Staff Access to Physical Records & Archives Storage Centers:

Access to physical records by staff shall be authorized through their respective Heads of Directorates/Divisions. CLE shall provide adequate and appropriate space and equipment to ensure that records are properly stored, secured and easily retrievable. All closed files shall be transferred to the archives awaiting file census and storage according to the records appraisal and disposal schedules.

3.9 Confidentiality in Handling Records:

CLE shall ensure that confidentiality and integrity in the management of records is maintained under the Human Resource Policy and Procedures Manual on confidentiality of information and records. CLE shall classify records into Confidential, Secret, Top Secret.

3.10 Records Retention and Disposal Schedules:

In line with Legal Education Cap 16 B and the Records Disposal Act Cap 14, Public Procurement and Disposal Act Cap 446, PFM Act of 2012, Access to Information Act Cap 7M, and Data Protection Act Cap 411C. CLE shall retain the following records according to the following approved retention and disposal schedules;

Directorate/Division/Unit Records	Retention Period
Directorate of Examination Records	5 Years
Finance Division Records	10 Years
Human Resource & Administration Division Records	6 Years

3.RECORDS & ARCHIVES MANAGEMENT ACTIVITIES

Supply Chain Management Division Records	6 Years
Legal Division Records	8 Years
Directorate of SLC Records	10 Years
ICT Division Records	5 Years
Directorate of Corporate Services Records	10 Years
Planning & Strategy Division Records	7 Years
CEO Office Records	5 Years
Corporate Communication Division Records	5 Years
Internal Audit Division Records	10 Years

3.11 Records & Archives Disposal Procedure:

Once the CLE Records and Archives disposal schedules have been approved by Council as per the relevant regulations, governing records management including CLE records retention and disposal schedules. CLE shall proceed and publish a notice through approved media platforms including the Kenya Gazette on the intent to dispose such records hence the general public including CLE stakeholders shall be invited within a period of 21 days of such a notice to raise claims to any query regarding the published records after which at the expiry of the notice the records shall be disposed of as per the relevant regulations governing records and archives management. CLE shall with the consultation of the Director Kenya National Archives select the most appropriate method to dispose of the listed records in line with the provisions of the Public Archives and Documentation Service Act Cap 19.

3.12 Archives Management:

CLE records shall be stored/archived according to the approved retention and disposal schedules the storage of physical and electronic records shall be done in appropriate methods and shall adopt the bulk filing unit's method. All archived records shall be stored on-sight-within CLE Premises. Electronic Records shall be stored in the EDMS (Electronic Document Management System) and discarded from the CLE database subject to conforming to the records retention and disposal schedules.

3.13 Knowledge Management Records:

CLE shall establish and maintain a Knowledge management center for the purposes of providing access and storage of knowledge assets including records i.e. journals, books, reports, and reading materials.

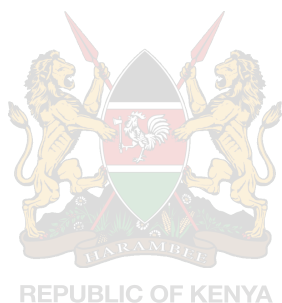
3.14 Records & Archives Disaster Management Plan.

- 3.14.1 CLE records shall be stored in appropriate formats as follows; to caution the Council against loss of records and information in the event of a disaster or emergency.
- 3.14.2 All physical records shall be stored in carbonated bulk filling units to caution physical files from fire in case of a fire outbreak.
- 3.14.3 All CLE records management operational office space, owned, rented and leased shall have consideration of one floor up from the bottom to prevent and cushion the council from disasters such as flooding.
- 3.14.4 All CLE records management operational centres shall be fully equipped with a fire suppression systems that shall be set to automatically trigger response to an emergency or fire.
- 3.14.5 All CLE records operational centres shall be fully equipped with fire extinguishers.
- 3.14.6 All CLE records operational centres shall have emergency exit points strategically and within reach in case of an emergency and evacuation scenario arises.
- 3.14.7 The CLE electronic records and information shall be stored offsite in a manner that should the ERP systems fail or crash then CLE will have a back-up mechanism that will enable uninterrupted flow of processes and activities.
- 3.14.8 The CLE Management upon receiving an advisory from the human resource & administration division shall approve and conduct emergency drills this will assist the records management unit in ensuring that any disaster management gaps are filled.

4.ENFORCEMENT

This policy shall be interpreted in line with the Constitution of Kenya including laws and regulations governing records and archives management but not be limited to;

- The Constitution of Kenya
- Legal Education Act Cap 16 B
- Data Protection Act Cap 411C
- Access to Information Act Cap 7M
- The Computer Misuse and Cybercrimes Act Cap 79 C
- Public Procurement and Disposal Act Cap 446
- Public Archives and Documentation & Services Act Cap 19
- Kenya Information and Communication Act Cap 411A
- ISO 9001:2015
- Existing CLE Policies and Manuals
- Records Disposal Act Cap 14
- Public Finance Management Act Cap 412 C
- Public Finance Management Regulations Of 2015
- Public Service (Values & Principals Cap 185 A)
- Employment Act Cap 226





5. Review and Updates

- 5.1 This Policy will be reviewed and updated as necessary and on such frequency as Council shall determine to ensure alignment with relevant laws and regulations, organizational changes, stakeholder feedback, emerging risks, best practice and Council's objectives.
- 5.2 The responsibility for the review and update of this policy rests with office responsible for implementation which will initiate, oversee and coordinate the review process.

6. Compliance

All Council members, staff, and CLE stakeholders shall be expected to comply with this Records and Archives Management Policy.

7. Commencement

This policy shall become effective on adoption and approval by the Council.

8. Implementation, Monitoring and Evaluation

- 8.1 The office responsible for Records and Archives Management at Council shall be responsible for executing all operations, procedures and activities including design tools and operational procedures required for the full and effective implementation of this policy.
- 8.2 Council shall formulate operational guidelines for the implementation, monitoring, evaluation and continuous improvement of the operations undertaken pursuant to this policy.
- 8.3 This Policy shall be interpreted and implemented in harmony with the Constitution of Kenya, applicable national legislation and other prevailing Government of Kenya and Council Policies.



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